

THE GEORGE WASHINGTON UNIVERSITY
Washington, DC

MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
APRIL 14, 1995, IN LISNER HALL
ROOM 603

The meeting was called to order by President Trachtenberg at 2:17 p.m.

Present: President Trachtenberg, Vice President French, Parliamentarian Keller, Boswell, Captain, Eftis, Elgart, Englander, Fowler, Futrell, Griffith, Gupta, Harrington, Johnston, Kahn, Kind, Kirsch, Pelzman, Robinson, Salamon, Seavey, Smith, Solomon, Thompson, Tropea, Vontress and Wirtz

Absent: Registrar Gaglione, Brewer, Castleberry, Friedenthal, Frieder, Keimowitz, Harding, Miller, and Mitchell

APPROVAL OF THE MINUTES

The minutes of the regular meeting of March 10, 1995, were approved as distributed.

The President asked permission to change the order of the agenda for the purpose of presenting Resolutions of Appreciation to two faculty members, one of whom had to leave the meeting early. No objections were made, and the Senate proceeded to Item 4, Introduction of Resolutions.

INTRODUCTION OF RESOLUTIONS

President Trachtenberg introduced "A Resolution of Appreciation" to Professor Stefan O. Schiff, who was retiring in June as Professor Emeritus of Zoology and of Genetics after thirty-one years of service to the University. The President read the Resolution of Appreciation and presented it to Professor Schiff who received a standing ovation. Professor Schiff expressed his gratitude and thanks. (Resolution 94/11 is attached.)

Noting that Professor Lilien Robinson's term as Chair of the Executive Committee of the Faculty Senate had reached its statutory limit, the President then introduced "A Resolution of Appreciation" to Professor Robinson for her exemplary and loyal service to the faculty, including seventeen years as a member of the Faculty Senate. President Trachtenberg then read the Resolution of

Appreciation and presented it to Professor Robinson who received a standing ovation. Professor Robinson thanked the Senate, stating that she was deeply moved and very grateful. (Resolution 94/12 is attached.)

No other resolutions were introduced.

RESOLUTIONS

RESOLUTION 94/10, "A RESOLUTION ON A UNIVERSITY-WIDE POLICY FOR NON-SMOKING"

On behalf of the Committee on Administrative Matters as They Affect the Faculty, Professor Eftis, Chair, moved Resolution 94/10 for adoption, and the motion was seconded. Professor Eftis then distributed a set of three handouts which provided a reference point for discussion of this resolution. With respect to the first one, he pointed out that in 1987 the University issued in its Manual of Personnel Policies, a smoking policy restricting smoking to designated areas. Since 1987, several units of the University have instituted their own restrictions individually. The problem, he explained, is that the restrictions that have been imposed are not uniform throughout the University. The second handout, he said, was a memorandum dated April 10, 1995, from Professor Banzhaf, in which he argued the advisability of having the Senate endorse a resolution that "recognizes the legal right of those who choose to smoke," claiming that it is debatable whether smokers have such a right. Attached to Professor Banzhaf's memorandum was a copy of the official U.S. Agency Guidelines for regulating smoking in the workplace. The document states: "While there is no penalty for not following the guidelines, courts are likely to adopt them as an appropriate standard of care in workmen's compensation, unemployment, ADA, tort, and legal actions brought against companies by non-smokers." The third set of handouts, Professor Eftis explained, was a letter anonymously sent to him. The sender of the letter provided information on two formal complaints lodged against the University for exposure to environmental tobacco smoke.

Professor Eftis said that, having just received the information Wednesday, he conducted a spot check himself and determined that the University's designated smoke areas do not conform to the recommended standards for such areas. Having contacted members of his committee to discuss the developments that had taken place in terms of the information he had just received, Professor Eftis said the Committee concluded that it would be in the best interests of the University and its employees, particularly with regard to potential health hazards complaints, to modify Resolution 94/10.

Professor Eftis, on behalf of the Committee, then moved the following amendments:

- (1) In the Second WHEREAS Clause, substitute the word, "tobacco" for the word "cigarette" in the first and third lines.
- (2) Strike the entire Fourth WHEREAS Clause reading: "WHEREAS, the George Washington University recognizes the legal right of those who choose to smoke, in that designated areas for smoking are, or will be made available."
- (3) In the RESOLVING Clause, strike the words "with the exception of specially designated smoke areas" in the third line.

Each of the above amendments were separately moved, seconded, and passed by the Senate.

A discussion followed by Professors Harrington, Pelzman, Englander, and Griffith.

Professor Gupta moved that the first line of the RESOLVING Clause be amended to read: "That the University adopt a uniform University-wide policy . . ." The motion was seconded. The question was called, and the amendment passed.

President Trachtenberg voiced his concern about the language in the resolution requesting the administration to take appropriate measures to insure the implementation of this policy. He asked the Senate for clear instructions about how he should enforce this policy if the resolution were adopted because it may, in fact, expand the liability of the University.

Professor Englander said he thought the policy would provide a real moral suasion amongst one's colleagues that would be as potent an army that Rice Hall could muster.

Professor Eftis said that, in the absence of a gendarmerie to police the nonsmoking policy, every employee could be informed by the President of this policy. The President asked for the privilege of the floor for Professor Banzhaf, National Law Center.

Professor Banzhaf said that the problem mentioned by the President was one which has been raised literally since the nonsmoker's rights movement started in the mid-70's. What the universal experience since that time has been, he said, is that whenever smoking restrictions have expanded, the concern about the problems of enforcement have been greatly exaggerated. And as each

step was taken, those problems did not occur. In terms of liability, Professor Banzhaf suggested that that would be substantially decreased because enforcement efforts need not be a total success in order to meet the legal standard of reasonableness.

Professor Griffith said he thought this policy was largely self-enforcing and he did not see too much difficulty in having it accepted at the University. Professor Kirsch suggested that the University place "No Smoking" signs on all the buildings, and include the non-smoking policy in the Schedule of Classes as a means of informing people about this policy.

Professor Smith said that since the administration takes appropriate measures to implement all University policies, he thought that the language in the RESOLVING Clause following the word "prohibited" was unnecessary. He moved that the words, "and that the University administration shall take appropriate measures to ensure that the policy is implemented" be deleted. The motion was seconded. The question was called, and the amendment passed.

A call for division was requested by Professor Griffith. The question was called and by a show of hands the amendment was passed by a vote of 16-2.

The question was called on the original motion, as amended, and Resolution 94/10, as amended, was adopted. (Resolution 94/10, as amended, is attached.)

REPORT ON CONFLICT OF INTEREST POLICY BY DONALD R. LEHMAN,
ASSOCIATE VICE PRESIDENT FOR RESEARCH AND GRADUATE STUDIES

Vice President Lehman said that his report essentially constituted a re-look at the Conflict of Interest Policy passed by the Senate in 1990 because the National Science Foundation has published a financial disclosure policy which requires universities to have in place a Conflict of Interest Policy that is both written and enforced in order to be eligible to apply for and receive National Science Foundation funding as of June 28, 1995. The NSF financial disclosure policy basically requires that investigators disclose their significant financial interests and those of their spouses and dependent children that appear to be directly and significantly affected by research or educational activities funded or proposed for funding by the NSF. Vice President Lehman said that the NSF has directed very clearly that there must be certain essential elements in the policy. He then described those elements, in abbreviated form, as follows:

- Must insure that the investigators have provided all required financial disclosures at the time of proposal submission.

- Must designate persons to review the financial disclosures to determine whether actual or potential conflicts of interest exist, and determine what conditions or restrictions, if any, should be imposed.
- Must have enforcement procedures and provide for sanctions where appropriate.
- Must have arrangements for keeping the National Science Foundation informed if unable to satisfactorily manage an actual potential conflict of interest.
- Must maintain records of all financial disclosures and all actions taken to resolve actual potential conflicts of interest until at least three years after termination or completion of the award.
- Must have the Principal Investigator and Co-Principal Investigators certify that they have read and understood the institution's conflict of interest policy.

Underlying those essential elements, Vice President Lehman said, are certain definitions which have been included in the proposed Conflict of Interest Policy. The definitions are:

An investigator means anyone responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by the National Science Foundation. A significant financial interest means monetary value from: salary or other payments for services, e.g., consulting fees and honoraria; equity interests, e.g., stock, stock options, or other ownership interests; intellectual property rights, e.g., where there are patents, copyrights or royalties involved. Excluded is a value of less than \$5,000 or 5% ownership of an enterprise.

Vice President Lehman noted that another very important aspect of this matter is that the Public Health Service has already published proposed regulations which will be delayed until sometime this summer in an attempt to make them consistent with the National Science Foundation Policy. It is also anticipated that probably later this year the Food and Drug Administration would be publishing similar guidelines that mainly would apply to clinical investigators in a medical environment.

In view of the National Science Foundation's Policy, Vice President Lehman said that he formed a subgroup of the Advisory Council on Research composed of representatives from every school

to begin to modify the University's Conflict of Interest Policy to meet the NSF requirements. He said the subgroup tried to retain as much of the original Conflict of Interest Policy statement that was passed by the Faculty Senate that would comply consistently with the NSF Policy. He said that the Policy before the Senate today was the result of input from the deans, the full Committee of the Advisory Council on Research, and Senate Research Committee, and that at the combined meeting of the Advisory Council on Research and the Senate Committee on Research in March, a motion was passed unanimously to bring the Policy to the Faculty Senate. He noted also that the Conflict of Interest Policy was under discussion by the Professional Ethics and Academic Freedom Committee.

Vice President Lehman said that the question he is asked most frequently is: "What potential impact this actually has on the University from the viewpoint of grants and contracts?" On the National Science Foundation alone, just for the month of March, he said that the University had \$156,000 of expenditures associated with NSF grants, and the active award total since the start of the awards accumulated up to this time is approximately \$14 million. On the Public Health Service side, he explained that it was much larger because it involves the Medical School and the University side much more. For March alone, he said the total was \$2 million and the total accumulation on awards that are currently open is greater than \$150 million. Vice President Lehman said that this represents the impact of this Policy on the University, and he recommended that it be eventually implemented.

In reference to Category III of the Policy, Professor Kirsch voiced his concern about due process in the event a faculty member's proposal for a grant is denied by the University's review panel.

Professor Wirtz, noting that the Policy made reference to the Policy on Patents and Scholarly Works, asked if by endorsing the Conflict of Interest Policy, the Senate would also be endorsing the Patent Policy. Vice President Lehman replied that a Policy on Patents and Scholarly Works would be brought forward from the Committee on Research for the Senate's May meeting. Professor Wirtz then asked whether a faculty member who has summer research support is inadvertently asked by his or her department chair to devote substantial time to non-research activities in curriculum revision, for example, would be violating the agreement with the government, if such curriculum matters were voluntarily worked on during weekends and holidays. Vice President Lehman replied that the 100% effort committed to work on the research project related to the regular workweek and that anything else would have to be done on an overload basis, such as weekends. Professor Wirtz said that it is his understanding that the faculty role in this policy is strictly advisory; that all decision-making rests with the Vice President for Academic Affairs; and that there is no appeal basis beyond the Vice

President for Academic Affairs. Vice President Lehman answered that the appeal basis, in effect, is the University Conflicts Resolution Panel following the particular school's Conflicts Consultation Committee report, with final decision resting with the Vice President for Academic Affairs.

A discussion followed by Professors Griffith, Gupta, Englander, Robinson, Vice President Lehman, Vice President French, and the President.

Professor Kahn, Chair, Professional Ethics and Academic Freedom Committee, said that the proposed Policy on Conflict of Interest was referred by the Executive Committee to the PEAFF Committee. In its discussions thus far, he said the Committee has adopted two suggestions. He said that it has been suggested that the document be explicitly limited to faculty and researchers engaged in or submitting applications for funding by the NSF and other federal agencies which might institute similar requirements. With proposals currently before Congress which would restrict or prohibit new regulations from coming into effect, it may turn out that entirely unnecessary burdensome machinery and expense are called for by the draft "Policy." Professor Kahn said that the PEAFF Committee thought that these reservations could be satisfied by adding the following language at the end of the first paragraph on Page 2 of the Preamble:

. . . could bias research outcomes. The University therefore requires all FACULTY and RESEARCHERS engaged in research (or submitting applications for research) funded by any Federal entity with financial disclosure requirements for investigators to follow guidelines and procedures as outlined under 'Implementation' of this University Policy on Conflict of Interest; other FACULTY and RESEARCHERS are not subject to the detailed requirements set forth in this section dealing with 'Implementation.'

The other suggestion made by the PEAFF Committee, Professor Kahn said, is to change the title to "A Policy on Conflict of Interest for Investigators in Federally Funded Research Projects." Professor Kahn said the PEAFF Committee would be happy to have the suggestions of the Senate which could be incorporated into the document and bring it forward with a resolution to the Senate.

Professor Englander pointed out that the suggestions made by the PEAFF Committee would basically change the proposed policy fundamentally from a University Conflict of Interest Policy, which in fact it is not since it only applies to faculty, to a Faculty Conflict of Interest Policy regarding Federally funded research, only, and not any other sort of research activity. Professor Englander urged the Senate members to discuss this fundamental change with colleagues in their

departments and schools.

President Trachtenberg asked Vice President Lehman if the proposed Policy applied only to those faculty who are getting federally funded research, as pointed out by Professor Englander, or was the Policy more broadly cast. Vice President Lehman responded that the Policy could apply in that particular way but that the charge was taken to be broader than that in the sense of making it part of what was already in existence. Professor Robinson noted that the deadline the University was following was the one for federally-funded research, and, therefore, it was possible for the Senate to deal with this issue in two segments. Professor Gupta also noted that the current Conflict of Interest Policy is a University-wide policy for sponsored, as well as non-sponsored, research.

Further discussion followed by Professors Griffith, Englander, Vice President Lehman, and the President.

Vice President French suggested it might be useful to the PEAFC Committee, in the event that it comes forward with fundamental revisions of the proposed Policy, to ask for a special meeting of the Senate because he was concerned that the University would appear once again on the brink of demonstrating an inability to draft a University-wide conflict of interest policy. President Trachtenberg said he agreed with Vice President French's observation in that the University is obliged by the federal government to file a conflict of interest policy. He implored the Senate to do whatever was necessary to give him a document that the Senate is recommending and that is sufficiently crafted and designed to be responsive to the federal agencies.

Professor Robinson recommended that a Special Meeting of the sitting Senate be called for Friday, April 28, 1995, to consider a resolution from the PEAFC Committee on a Conflict of Interest Policy. There were no objections.

Accordingly, a Special Meeting of the Senate was scheduled for Friday, April 28, 1995, at 2:10 p.m. in Lisner Hall, 603 for the purpose of consideration of a Resolution on a Conflict of Interest Policy submitted by the Professional Ethics and Academic Freedom Committee.

SPECIAL REPORT ON FACULTY SALARIES FOR FY 1994-95 BY PROFESSOR WILLIAM B. GRIFFITH, CHAIR, COMMITTEE ON APPOINTMENT, SALARY AND PROMOTION POLICIES

Professor Griffith, Chair of the Appointment, Salary and Promotion Policies Committee, explained that the Special Report of the Committee was meant merely to accompany the Annual Faculty Salary Report for AY 1994-1995 of Vice President French. The Committee also

agreed, he said, to forward to the Senate an appendix to its report that reflects executive compensation as reported in the IRS Form 990. Two questions that have been asked, Professor Griffith said, were whether the compensation reported for Figure A included the furnishing of University housing, and whether it included all compensation derived from holding an executive position in the University. Professor Griffith said that apparently the IRS does not require that University housing be reported as compensation, and that he thought it unlikely that the compensation figure included all compensation derived from a University executive position but that that was the information the University reported on its IRS Form 990. (See attached ASPP Committee Special Report dated 2/3/95, Appendix dated 2/23/95, and Annual Faculty Salary Report AY 94-95 dated 1/30/95, V. P. French)

Professor Johnston asked Professor Griffith why these figures, which are a matter of public information, did not reflect the names of the administrators, but were instead designated by letters. Professor Griffith explained that the Committee decided to report this without attaching names simply in the interest of trying to focus on the kind of general level of compensation and the compensation policies that are involved rather than focusing on whether a particular individual received more or less than someone else. Professor Johnston pointed out that The Hatchet reported these same figures with the names identified, and he wondered if The Hatchet had more courage in this respect than the ASPP Committee. Professor Griffith replied that he did not think that it was a matter of courage, but rather a matter of the way in which the Committee attempted to draw attention to compensation policy.

A discussion followed by Professors Johnston, Kirsch, Griffith, Englander, and President Trachtenberg.

Professor Griffith then yielded the floor to Professor Sharon Lynch, a member of the Appointment, Salary and Promotion Policies Committee, who wished to speak to the issue about the goal of achieving and maintaining for all ranks in each school or college no less than a number two rating (60th percentile or above) on the same scale.

Professor Lynch said that, as a member of the School of Education faculty for five years, she was pleased to see the many substantive improvements the University has made during that time. One of those improvements, she said, was a goal set by a Senate resolution in 1987 to achieve the overall average for faculty salaries at the 80th percentile, and by and large that goal has been met. However, she pointed out that there was a second part of that resolution that set the 60th percentile as the floor so that no unit of the University would have anything less than that. Looking at the salary data, she said that that goal also has been nearly met with the exception of the faculty salaries in the School of Education that do not even come

close to that goal. Judging from the last U.S. News and World Report data, Professor Lynch said that the School of Education was pleased to find itself ranked 44th nationally among the Schools of Education, so that the currency in terms of bringing value added to the University was very high indicating that the University has a very good School of Education. In using institutional research data on revenues, expenditures, and sponsored research, she said the School found that per capita, per faculty member, it appeared to be bringing in the second largest amount of money at the University with the exception of the Law School. In addition, she said that when the Faculty Senate looks at the retention of women and minority faculty, the School of Education is the only school at the University where the majority of faculty are women and where the highest proportion of minority faculty are found. However, Professor Lynch also pointed out that several minority faculty have left GSEHD due to the low salaries. In conclusion, Professor Lynch asked the Faculty Senate that when it looks at the salary data provided them today that it reexamine that data with reference to the School of Education which, in her view, is making a very positive, strong contribution to the University.

GENERAL BUSINESS

I. NOMINATION FOR ELECTION OF THE EXECUTIVE COMMITTEE FOR THE 1995-96 SESSION

On behalf of the Nominating Committee, Professor Johnston, Convenor, moved the nominations for election of the following professors to the Executive Committee for the 1995-96 session: Joseph Pelzman (ESIA) as Chair, John G. Boswell (GSEHD), Yvonne Captain (CSAS), Mervyn L. Elgart (SMHS), Ernest J. Englander (SBPM), Walter K. Kahn (SEAS), and Lewis E. Solomon (NLC). No nominations were made from the floor, and the entire slate was elected unanimously.

II. NOMINATION FOR ELECTION OF FACULTY TO THE DISPUTE RESOLUTION COMMITTEE

On behalf of the Executive Committee, Professor Robinson moved the nominations for election of the following faculty to the Dispute Resolution Committee for three-year terms commencing May 1, 1995: Professors Robert S. Goldfarb (CSAS), Joseph A. Greenberg (GSEHD), Cynthia J. McSwain (SBPM), Jan Orenstein (SMHS), and John A. Spanogle, Jr. (NLC). No nominations were made from the floor, and the nominees were elected unanimously. Professor Robinson moved the re-election of Professor Roger E. Schechter (NLC) as Chair of the Dispute Resolution Committee for a one-year term, and Professor Schechter was elected unanimously.

Professor Robinson then moved the nomination of Associate Professor Daniel H. Ullman for election to the Dispute Resolution Committee for a one-year term as a replacement for Professor Peter P. Hill, who resigned. Professor Ullman was elected unanimously.

III. NOMINATIONS FOR APPOINTMENT BY THE PRESIDENT TO ADMINISTRATIVE COMMITTEES

On behalf of the Executive Committee, Professor Robinson moved the nominations for appointment by the President to the following Administrative Committees: Judicial System: Clemmont E. Vontress (Chair), Shahram Sarkani, and Daniel H. Ullman; University Hearing Board: David J. Goodenough, Joseph A. Greenberg, Muhammad I. Haque, George M. Jabbour, Amy J. Mazur, Michael J. Olding, and Ronald Weitzer; Marvin Center Program Board: Linda Street; Marvin Center Governing Board: Joseph A. Greenberg, Irving J. Katz, Charles E. O'Rear, and Bradley W. Sabelli; Committee on Student Publications: Yolanda C. Oertel, W. Douglas Maurer, Jon Quitslund, and Frederick Wolff. No additional nominations were made from the floor, and the nominees were elected unanimously.

IV. REPORT OF THE EXECUTIVE COMMITTEE

The report of the Executive Committee by Professor Robinson, Chair, is enclosed.

V. ANNUAL REPORTS OF SENATE STANDING COMMITTEES

No Annual Reports were received.

BRIEF STATEMENTS (AND QUESTIONS)

Vice President French said that he had three brief statements. First, the appointment letters will not be mailed out on or about May 7th this year because of two factors. The budgets to the schools were a bit slower in going out and have just now come back, and the University is making the conversion of the faculty salary data base into the Banner System this month. He assured the members that the appointment letters will be prepared and mailed in as timely fashion as possible. Second, Vice President French indicated that he had just received a report from Dean "B" on activities with respect to the recruitment and retention of women and minority faculty in "its" school. He said that that was a missing part of his report earlier in the year to the Senate and this information would enable him now to prepare a report to the Senate in May. Third, in response to a request from Professor Gupta, Vice President French said that he would be happy to put into place a Task Force on Retirement before he retired.

Professor Griffith noted that he had received a notice of the adoption of a new academic calendar for 1996-97 which appeared to be a contravention of a calendar which was adopted by the Faculty Senate. The new calendar enlarges the holiday over Thanksgiving to include the Wednesday before Thanksgiving. He said it was his memory that the Faculty Senate approved a Wednesday before Thanksgiving as a holiday on an experimental basis some years ago, and then subsequently eliminated that holiday because it found that the students took off the entire week of Thanksgiving. Professor Griffith requested that the Executive Committee look into this matter as it raises some issues that the Senate may wish to consider.

Professor Kahn said that he was pleased to inform his colleagues in the Senate that our distinguished colleague in the School of Engineering and Dean Emeritus of SEAS, Harold Liebowitz, has been elected President of the National Academy of Engineering.

President Trachtenberg, noting that Vice President French is stepping down in August as Vice President for Academic Affairs, said he wished to thank Vice President French publicly for his services for eleven years as Vice President for Academic Affairs, and that he is going to be missed. He said that there is a civility wherever Rod French is present that the University is going to have to strive diligently to try to maintain in his absence.

In the meantime, the President said that upon the recommendation of the Executive Committee of the Senate a search for the position of Academic Vice President will begin as quickly as possible and that Dean Linda Salamon will serve in the interim as Academic Vice President. The President indicated that he will be designating an Advisory Committee and he invited Professor Pelzman, Chair-elect of the Executive Committee, to serve on the Committee. Having consulted with the Dean's Council of Columbian School, the President said he has invited Associate Dean Edward Caress to serve as interim Dean of Columbian School.

President Trachtenberg thanked Professor Lilien Robinson for the opportunity to work with her this year as Chair of the Executive Committee of the Senate and said that he was going to miss her also.

ADJOURNMENT

Upon motion made and seconded, President Trachtenberg adjourned the meeting at 4:05 p.m.



J. Matthew Gaglione
Secretary

A RESOLUTION OF APPRECIATION (94/11)

WHEREAS, Stefan O. Schiff will retire in June as Professor Emeritus of Zoology and of Genetics after 31 years of service to The George Washington University; and

WHEREAS, Stefan O. Schiff has earned the respect and gratitude of the entire University community; **NOW, THEREFORE**

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the following citation be issued:

In recognition of his contributions to The George Washington University during 31 years of service to his students and colleagues in the Biological Sciences of the Columbian School of Arts and Sciences; and

In recognition of his dedicated and principled efforts on behalf of academic excellence as Chair of the Biological Sciences Department for 10 years and Director of the Genetics Program for 16 years; and

In recognition of his independence of spirit, integrity, and perserverance in support and defense of the highest principles of the Academy; and

Especially in recognition of his 23 years of conscientious service as a member of the Faculty Senate and, specifically, for his service of 3 years on the Executive Committee, 9 years as Chair of the Educational Policy Committee, 5 years as Co-Chair of the Joint Committee of Faculty and Students, 5 years as Chair of the Athletics and Recreation Committee, 1 year as Chair of the Student Financial Aid Committee, and 1 year as Chair of the Committee on Administrative Matters as They Affect the Faculty;

THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

CITES

PROFESSOR STEFAN O. SCHIFF

FOR

DISTINGUISHED SERVICE



Stephen Joel Trachtenberg
Stephen Joel Trachtenberg
President

Lillian F. Robinson
Lillian F. Robinson
Chair, Executive Committee of
the Faculty Senate

April 14, 1995
Adopted by acclamation
April 14, 1995

A RESOLUTION OF APPRECIATION (94/12)

WHEREAS, Lilien F. Robinson has earned the deepest respect, eternal gratitude and affection of the University community; and

WHEREAS, her term of service on the Executive Committee of the Faculty Senate has reached its statutory limit; **NOW, THEREFORE**

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the following citation be issued:

In recognition of her contributions to The George Washington University during 30 years of service to her students, and colleagues as Teaching Fellow, Instructor, Assistant Professor, Associate Professor, and Professor of Art History; and

In recognition of her outstanding leadership in her eminent, devoted, and exceptional efforts as Chair of the Department of Art for 17 years; and

In recognition of her dedication to scholarship and high academic standards, and her patience, objectivity, eloquence, diplomacy, warmth and humanity in resolving complex issues on behalf of the University community; and

Especially in recognition of her exemplary and loyal service to the faculty; including 17 years as a member of the Faculty Senate, 7 years of service on the Executive Committee, 5 years as Chair of the Executive Committee, 6 years as Chair of the Committee on Appointment, Salary and Promotion Policies, and 3 years as Chair of the Committee on Administrative Matters as They Affect the Faculty;

THE FACULTY SENATE

OF

THE GEORGE WASHINGTON UNIVERSITY

CITES

PROFESSOR LILIEN F. ROBINSON

FOR

DISTINGUISHED SERVICE



April 14, 1995
Adopted by acclamation
April 14, 1995

Stephen Joel Trachtenberg
Stephen Joel Trachtenberg
President

[Any inquiries about this resolution should be directed to Professor John Eftis, Chair, Committee on Administrative Matters as They Affect the Faculty, Ext. 4-6536]

A RESOLUTION ON A UNIVERSITY-WIDE POLICY ON NON-SMOKING (94/10)

WHEREAS, federal courts have ruled that regulations which ban smoking in all indoor workplaces are constitutional; and

WHEREAS, it is now generally recognized that cigarette tobacco smoking is hazardous to one's health, and that inhalation of cigarette tobacco smoke is also detrimental to health; and

WHEREAS, a policy for restriction of smoking exists within the University, nevertheless different units of the University, including the Hospital, Medical Center, Law School, University Club, J Street Food Court and the Gelman Library have found it necessary to institute smoking restrictions individually; ~~and~~

~~WHEREAS, The George Washington University recognizes the legal right of those who choose to smoke, in that designated areas for smoking are, or will be made available;~~
NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

~~That it would be desirable to have the University adopt a uniform University-wide policy for on non-smoking whereby with the exception of specially designated smoke areas, smoking in classrooms and in all academic and administrative support facilities, including offices, halls and stairways, shall be prohibited, and that the University Administration shall take appropriate measures to ensure that the policy is implemented.~~

Committee on Administrative Matters as They Affect the Faculty
March, 1995

Adopted, as amended, April 14, 1995

FACULTY SENATE
Committee on Appointments, Salary, Promotion Policies (ASPP)

SPECIAL REPORT

Feb. 23, 1995

With this Report the ASPP Committee forwards for consideration by the Faculty Senate a Memorandum with attached tables, constituting Vice President French's 1994-95 installment of what has become an annual report on changes to faculty salary levels and distribution by rank.

As Vice President French notes, this report is more extensive than its predecessors and presents somewhat more analytical detail than has formerly been made available. He also announces (p.2) an important administration commitment to raise the average salaries of full professors to the AAUP's 80th percentile over three years.

In voting to forward this document for Faculty Senate consideration, the ASPP directed me to make the following points:

1) The ASPP Committee intends to provide additional comparisons with faculty salaries elsewhere when AAUP data becomes available in April, and certain longitudinal comparisons with faculty salaries in earlier years will also be provided the Senate. Further, the Committee intends to respond positively to Vice President French's request that the set of "market basket" schools with which we now compare ourselves be improved to allow more meaningful comparisons.

2) The Committee notes with approval measures proposed to address the first goal set out by Senate Resolution 87/1,* of reaching and maintaining "an overall number one rating (80th percentile or above)" for average faculty salaries on the AAUP scale for Category I institutions. However, the Committee expresses its concern that the Administration not lose sight of the second goal established in that same Resolution, of achieving and maintaining "for all ranks in each school and college no less than a number two rating (60th percentile or above)" on the same scale.

3) The Committee also notes its concern with the recent administrative practice of separating allocation of monies for faculty raises into two pools, one to be distributed by department chairs and deans in connection with the preparation of the annual budget, and a second, much later distribution, under tight restrictions, both to be effective at the same time. It was pointed out to the Committee that such a practice makes it impossible for department chairs and deans to achieve the fairest and most responsive-to-merit distribution of raises, because when the bulk of the raises are distributed it is unknown whether any further monies will be available, and if so under what restrictions those raises must be distributed. Hence the aggregate set of raises will be optimal only if chairs' and deans' guesses are accurate. While the Committee has not at this time identified the best way of resolving this problem, we note it for further attention and discussion.

*Resolution 87/1 attached.

A RESOLUTION CONCERNING FACULTY SALARIES (87/1)

WHEREAS, a university can be no better than its faculty; and

WHEREAS, a distinguished university must be staffed with an equally distinguished faculty; and

WHEREAS, equity and market conditions both demand that a distinguished faculty receive compensation which is commensurate with this standing; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

- (1) That the University make annual increments to faculty salaries designed to achieve as soon as possible, and to maintain, for all ranks an overall number one rating (80th percentile or above) on the American Association of University Professors' scale for Category I institutions;
- (2) That the University make annual increments to faculty salaries designed to achieve as soon as possible, and to maintain, for all ranks in each school and college no less than a number two rating (60th percentile or above) on the American Association of University Professors' scale for Category I institutions.

Committee on Appointment, Salary, and Promotion Policies
March 27, 1987

Adopted, May 1, 1987

FACULTY SENATE
Committee on Appointments, Salary, Promotion Policies (ASPP)

APPENDIX TO SPECIAL REPORT OF FACULTY SALARIES Mar. 29, 1995

This is a brief appendix to the ASPP Committee's Special Report of Feb. 23, 1995 on Faculty Salaries. It is intended to help add some perspective to average raises and salary rankings of GWU faculty.

The table below was initially prepared by Prof. Arthur Kirsch, member of the ASPP Committee, from the University's 990 Tax Forms for 1991-92-93. It was refined in response to Committee directions through the cooperative efforts of Adjunct Assistant Professor Steven Fleishman and Ms. Lidia Pedemonte of the Philosophy Department. The second table is from the Chronicle of Higher Education of Jan. 27, 1995.

FORM 990 PART V-list of officers, Directors & Trustees
(Partial Listings - ASPP)

Compensation	1991-92	1992-93	1993-94	Avg. % Increase
A	\$260,000	\$260,000	\$288,738	5.53
B	\$156,000	\$179,600	\$199,310	13.88
C	\$159,630	\$165,000	\$184,117	7.67
D	\$158,110	\$165,000	\$177,514	6.14
E	\$133,660	\$137,500	\$150,716	6.39
F	\$113,460	\$120,000	\$131,237	7.83
G	\$102,500	\$112,500	\$117,581	6.26
H	\$95,000	\$100,000	\$107,683	6.68
I			\$101,269	
J			\$108,202	
Contribution (1993)	... for Disability	... for Health Care	to EBP	% of Comp.
A	\$14,319	\$2,549	\$45,913	15.9
B	\$5,910	\$1,460	\$28,270	14.18
C	\$6,928	\$1,671	\$24,490	13.3
D	\$10,070	\$3,827	\$20,039	11.29
E	\$6,171	\$1,831	\$43,870	29.1
F	\$5,914	\$1,671	\$22,154	16.88
G			\$14,243	12.11
H			\$13,202	12.26
I			\$0	
J			\$13,296	12.29

FACT FILE: Median Salaries of College and University Administrators, 1994-95

Executive	All Institutions	Doctoral	Comprehensive	Baccalaureate	2-year	Administrative, continued	All Institutions	Doctoral	Comprehensive	Baccalaureate	2-year
Chief executive of a system	\$115,000	\$160,000	\$120,175	\$103,301	\$98,789	System analyst, highest level	\$41,232	\$45,700	\$41,888	\$35,000	\$39,956
Assistant to chief executive of a system	67,500	82,405	54,996	60,000	52,668	Programmer analyst, highest level	35,693	39,440	35,760	31,050	35,405
Chief executive of a single institution	107,180	154,416	111,204	105,379	91,203	Director, administrative computer center	51,160	72,957	54,393	40,400	46,578
Assistant to chief executive of a single institution	50,904	73,600	55,131	40,850	41,000	Associate director, administrative computer center	44,602	61,904	46,328	31,931	41,259
Executive vice president	85,000	142,500	84,971	70,000	77,475	Chief physical-plant officer	54,381	80,610	58,580	46,900	47,047
Academic						Manager, landscape and grounds	34,469	42,216	34,425	29,598	29,573
Chief academic officer	\$81,445	\$128,150	\$92,102	\$75,000	\$68,884	Manager, building maintenance	38,800	49,901	37,949	32,002	35,194
Associate chief academic officer	70,000	90,650	72,500	54,682	61,016	Manager, technical trades	39,522	45,827	39,063	32,880	35,376
Chief health-professions officer	121,671	208,544	112,000	—	52,260	Manager, custodial services	32,507	42,074	32,318	28,801	27,995
Director, library services	52,048	87,804	61,326	44,240	45,810	Manager, power plant	41,810	48,300	39,229	37,229	36,540
Acquisitions librarian	35,762	43,200	35,092	30,186	35,599	Comptroller	53,500	76,637	55,060	45,753	46,500
Chief technical-services librarian	38,000	55,968	39,634	31,411	38,142	Manager, payroll	34,000	44,280	32,652	26,914	32,000
Associate chief technical-services librarian	38,685	57,403	38,450	33,415	37,330	Director, accounting	46,678	59,190	45,040	35,110	39,949
Reference librarian	34,800	43,020	35,071	29,834	36,396	Staff accountant, highest level	32,578	35,961	33,477	28,080	33,980
Catalog librarian	33,500	40,086	34,012	30,352	32,313	Bursar	40,908	53,960	39,910	30,378	37,552
Director, institutional research	51,768	63,598	49,781	45,626	47,661	Director, purchasing	43,805	57,800	42,206	35,700	38,260
Associate director, institutional research	42,394	48,370	38,482	28,000	42,288	Associate director, purchasing	37,863	46,050	32,848	29,100	28,104
Director, educational media services center	40,000	56,180	41,737	32,194	40,441	Director, bookstore	33,088	51,983	37,980	28,100	31,235
Director, learning-resources center	42,278	52,640	40,000	32,604	48,421	Director, internal audit	53,963	62,148	45,283	38,500	39,610
Director, international education	54,000	73,750	51,775	45,321	—	Director, auxiliary services	55,125	68,912	55,000	43,344	46,633
Director, international studies education	49,300	57,529	48,550	44,720	52,766	Manager, mail services	25,270	33,718	26,031	20,000	22,691
Director, academic computer center	52,500	73,338	52,187	43,360	42,575	Director, campus security	41,250	58,000	43,000	32,000	34,097
Associate director, academic computer center	47,688	64,603	45,922	36,542	42,808	Director, risk management and insurance	54,706	60,880	44,954	43,535	52,429
Director, sponsored research	56,837	70,956	54,473	36,000	44,349	Administrator, hospital medical center	167,904	174,950	—	—	—
Dean, architecture	100,825	105,000	67,626	—	—	External affairs					
Dean, agriculture	100,217	114,425	77,725	—	52,954	Chief development officer	\$71,500	\$100,000	\$75,000	\$69,000	\$51,327
Dean, arts and letters	70,596	105,410	74,700	58,949	57,456	Director, annual giving	38,665	49,000	39,220	35,964	30,850
Dean, arts and sciences	79,236	106,088	80,205	62,088	56,930	Director, corporate and foundation relations	46,980	59,830	47,140	40,800	44,897
Dean, business	78,628	122,495	85,731	59,462	55,130	Coordinator, resource development	34,719	40,000	33,825	30,677	39,800
Dean, communications	65,834	103,000	72,450	41,488	52,028	Director, planned giving	51,303	62,615	48,824	47,835	42,654
Dean, continuing education	64,480	90,536	70,485	52,897	56,987	Chief public-relations officer	47,113	80,000	49,250	40,250	40,400
Dean, dentistry	132,500	147,225	124,920	—	—	Director, governmental relations	74,915	82,014	65,000	50,518	64,238
Dean, education	77,723	100,000	76,293	51,000	59,816	Chief development and public-relations officer	80,809	106,600	81,900	67,486	52,629
Dean, engineering	100,860	127,500	90,000	63,084	58,600	Director, alumni affairs	39,990	57,312	40,861	34,848	30,048
Dean, extension	73,440	101,250	74,000	37,441	60,775	Director, development and alumni affairs	47,700	74,263	51,415	38,800	40,000
Dean, fine arts	72,456	98,459	75,087	48,535	56,671	Director, major gifts	53,676	64,038	49,201	49,537	47,951
Dean, graduate programs	79,484	98,401	70,944	56,889	—	Director, church relations	39,539	—	46,550	37,014	—
Dean, health-related professions	67,996	98,233	79,538	56,200	56,000	Director, community services	43,607	49,205	35,770	34,320	44,992
Dean, home economics	92,700	98,362	74,747	—	—	Director, publications	40,110	50,015	38,958	32,000	42,493
Dean, humanities	58,952	108,020	71,746	46,512	56,032	Associate director, publications	31,981	37,651	30,762	28,752	31,264
Dean, instruction	63,869	—	—	—	63,668	Manager, printing services	33,710	46,338	33,840	27,000	31,536
Dean, law	139,000	143,310	135,500	130,000	45,061	Director, information office	40,476	56,714	40,490	34,872	36,632
Dean, library and information sciences	76,441	95,810	70,868	—	51,438	Director, news bureau	35,783	45,000	34,870	28,396	31,322
Dean, mathematics	56,853	77,844	66,000	44,424	57,350	Student services					
Dean, medicine	199,500	225,000	192,000	—	—	Chief student-affairs officer	\$67,680	\$98,650	\$75,124	\$58,000	\$60,933
Dean, music	74,600	96,305	76,900	41,918	50,038	Associate chief student-affairs officer	51,727	69,750	52,464	38,896	45,850
Dean, nursing	70,854	105,000	75,240	56,172	52,298	Dean, students	53,750	66,950	52,276	45,472	54,995
Dean, occupational or vocational education	59,581	85,750	74,892	62,400	56,495	Chief admissions officer	50,000	65,282	51,388	45,746	44,348
Dean, pharmacy	111,397	115,927	96,013	—	—	Associate director, admissions	34,480	42,912	35,448	31,124	30,598
Dean, public health	137,000	141,804	—	—	—	Admissions counselor	23,540	25,743	23,448	21,713	28,105
Dean, sciences	66,784	114,740	75,600	53,000	58,099	Academic adviser	29,564	28,477	29,092	29,000	33,905
Dean, social sciences	58,580	111,417	78,086	49,135	57,268	Director, admissions and registrar	50,553	70,236	55,628	39,500	49,200
Dean, special programs	89,095	101,815	75,000	40,950	—	Registrar	43,567	63,546	48,245	38,373	40,058
Dean, undergraduate programs	54,838	57,915	71,104	52,365	52,000	Associate registrar	36,593	45,279	36,000	29,477	31,011
Dean, veterinary medicine	69,000	92,478	69,000	57,740	52,542	Director, admissions and financial aid	54,200	81,120	58,716	52,750	42,159
Director, continuing education	46,856	69,300	47,010	38,500	45,773	Director, student financial aid	43,420	61,241	46,820	38,005	41,185
Administrative						Associate director, student financial aid	32,006	42,065	33,665	26,482	30,710
Chief business officer	\$77,150	\$112,500	\$84,922	\$71,050	\$66,437	Director, food services	44,081	57,949	44,400	43,064	33,209
Chief administration officer	77,259	104,000	78,294	65,000	65,136	Associate director, food services	36,129	45,312	37,211	31,142	24,875
Chief financial officer	70,350	96,733	72,600	55,350	57,784	Director, student housing	40,000	59,033	42,000	31,869	28,451
Director, environmental health and safety	52,000	64,200	43,875	34,495	46,554	Associate director, student housing	34,472	43,992	33,883	26,000	26,719
Director, telecommunications	49,515	60,053	46,096	33,845	44,298	Housing officer, administrative operations	38,352	43,560	31,800	28,000	—
Chief planning officer	72,003	96,500	68,644	61,900	68,398	Housing officer, residence life	28,329	38,776	29,134	24,000	22,540
Chief budgeting officer	60,000	70,850	54,117	47,947	50,997	Director, student union and student activities	42,062	53,284	42,623	31,506	42,500
Associate budget director	47,064	56,480	40,747	42,204	40,787	Director, foreign students	36,914	45,000	34,650	28,873	37,628
Chief planning and budget officer	76,380	90,550	68,100	60,439	61,619	Director, student union	44,838	52,416	45,001	33,650	38,020
General counsel	80,932	93,982	70,850	64,092	63,600	Associate director, student union	35,528	38,881	34,474	26,208	34,972
Staff attorney	62,000	64,290	51,250	55,207	—	Director, student activities	33,400	44,010	34,278	27,771	33,980
Chief personnel / human resources officer	55,000	75,426	54,622	41,419	51,000	Director, career development and placement	39,228	52,631	41,420	34,272	36,513
Associate director, personnel / human resources	44,814	56,111	42,090	35,559	45,838	Director, student counseling	44,849	60,244	46,200	36,741	43,800
Manager, benefits	37,248	46,952	32,647	30,894	33,378	Associate director, student counseling	39,071	47,641	38,600	28,400	36,024
Manager, training and development	40,500	43,910	33,666	35,894	42,700	Director, student health services, physician	84,039	90,706	80,004	61,157	45,400
Manager, employee relations	45,240	45,840	37,360	43,975	52,450	Director, student health services, nurse	32,300	46,352	35,475	28,000	30,464
Manager, labor relations	57,490	57,612	53,364	—	55,545	Director, campus ministries	34,704	54,712	36,129	33,552	28,520
Manager, employment	36,824	43,779	33,360	32,283	36,654	Director, athletics	55,162	92,054	61,045	45,000	45,563
Manager, wage and salary	40,923	43,970	35,660	29,885	37,000	Men's	49,429	70,722	51,000	42,880	—
Manager, personnel information systems	40,919	44,735	33,245	28,234	36,201	Women's	45,626	58,377	42,993	39,333	30,815
Director, affirmative action and equal employment	55,450	62,400	49,097	44,750	50,854	Director, sports information	30,000	38,932	30,000	23,386	28,126
Associate director, affirmative action and equal employment	39,136	40,106	33,600	—	35,365	Chief, enrollment management	37,268	50,161	37,357	28,622	33,247
Director, personnel and affirmative action	45,105	56,400	48,988	35,350	45,105	Director, campus recreation	64,195	74,015	66,485	61,190	48,820
Chief information systems officer	62,500	88,117	66,650	50,950	54,088	Director, minority affairs	40,362	48,204	37,386	34,000	36,958
Associate director, computer center	48,458	70,999	49,794	40,120	43,905	Director, conferences	37,570	50,332	36,905	32,205	35,831
Data base administrator	45,706	54,474	40,507	33,153	47,318						

Note: The figures are based on the reports of 1,509 colleges and universities. The figures are meant to provide a broad overview of salaries in higher education. A dash indicates insufficient data.

SOURCE: COLLEGE AND UNIVERSITY PERSONNEL ASSOCIATION



175TH ANNIVERSARY 1821-1996

VICE PRESIDENT FOR ACADEMIC AFFAIRS

January 30, 1995

TO: William B. Griffith, Chair
Faculty Senate Committee on
Appointment, Salary and Promotion Policy

FROM: Roderick S. French
Vice President for Academic Affairs

RE: Annual Faculty Salary Report for AY 94-95

For as long as I can remember, it has been the practice on this campus that the administration conveys annual faculty salary data to the Faculty Senate through your committee and thence to the faculty at large. This is the 1994-95 installment of that report. It is somewhat longer and more differentiated than in previous years not only because there is a good story to be told but also because I have provided the basis for a more analytical discussion of faculty salary policies.

I

The starting point for this report will be the data submitted by the University to the annual AAUP faculty salary survey. (Attachments 1-A and 1-B) Inasmuch as by the nature of the case some members of your committee will be seeing this report for the first time, it may be useful to mention certain definitions and guidelines stipulated by the AAUP.

We are listed and ranked in the AAUP survey as a "Category I" institution. Their alternative nomenclature for this category is "Doctoral-Level Institutions." To qualify for inclusion in this category, a school must grant a minimum of thirty doctoral degrees annually and those degrees must be granted in three or more unrelated disciplines.

At the outset in reading these tables, we need always remind ourselves that the AAUP has its own rules as to which faculty are to be reported. (Attachment 1-C) For example, no faculty serving as deans or associate deans can be reported. In a relatively small school, the movement of two or three of the more highly paid senior faculty in or out of administration can seriously distort the reported averages in a given year. Faculty on leave for the year without pay also are excluded, as are all visiting and research faculty. The net result of these and other guidelines is that the number of faculty covered by the AAUP survey is significantly lower than the number

of authorized full-time lines on my Faculty Position Control Program. The difference this year is approximately seventy.

Peggye Cohen, Assistant Vice President for Institutional Research, submits data for both continuing faculty (Attachment 1-A) and continuing and new faculty combined (Attachment 1-B). The famous percentile rankings are based on averages for the continuing and new count, but in evaluating the effects of our raises in a given year it is important to focus on the figures for continuing faculty because those continuing colleagues obviously are the ones who receive the raises! The combined averages reflect the impact of the salaries of newly hired and/or newly promoted faculty in each rank and the impact of the retirement of senior faculty. The consequences can be dramatic. For example, continuing full professor average salaries in the Law School rose this year by 9.6% whereas the combined average increased by only 7%. In the Graduate School of Education and Human Development the comparable figures for assistant professors were 9.9% and -0.2%. In terms of the University overall because the number of associate professors increased by 15, it took a 12.1% increase in dollars to bring the average salary of that rank up 3.2%.

Another way of looking at this difference is in terms of the percentage salary increase achieved as a result of a certain percentage increase in dollar outlay. A 5.35% increase in the salary allocation for continuing faculty produced a 5.35% increase in the overall average salary for that group. A 5.9% increase in our total allocation for faculty salaries produced only a 3.9% increase in the overall average salary for all continuing and new faculty.

Let me turn now to our anticipated percentile standing among Category I institutions. We cannot be certain how this will turn out until the AAUP publishes this year's survey in April. However, for our purposes, Peggy Cohen has done a calculation on the assumption that the national average increase in Category I institutions will be 4%. If that proves to be the case, our average for assistant professors will be at the 80th percentile, for associate professors at the 81st percentile, and for full professors at the 75th percentile.

As most will know, the administration made a special supplemental merit-based distribution to selected assistant professors in order to hold that rank at the 80th percentile after a round of promotions to associate rank had reduced the average. The combined result for approximately fifty of our junior faculty was a pattern of annual raises ranging from 8 to 14%.

You also know that extra funds were added to the pool for full professors as a first installment on the project to raise the full professor average to the 80th percentile. President Trachtenberg has committed the University to achieving this goal in three years, i.e., with the raises that take effect January 1, 1998. Toward that end, he has asked the Board of Trustees to approve a budget for FY96 that includes \$325,000 in salary and fringe benefits above a 4% raise pool. That will enable us to take the first of three equal steps toward our goal.

II

In order to provide ourselves with a more distinct comparative framework for these purposes than the AAUP national survey represents, the Senate and certain members of the administration some years ago identified a so-called Market Basket of twelve universities with which we would compare ourselves on a continuing basis. (In more recent years, as a matter of additional interest, we have included data for the University of Maryland and George Mason University by way of providing a regional "market basket" of those two plus American and Georgetown which were already in the Senate's Market Basket.)

Beyond that initial identification of schools, your predecessor, Professor Kirsch, and I pledged ourselves to identify some important characteristics of the Market Basket institutions which would help to construct a more meaningful context for the interpretation of comparative salary data. We never intended to carry this to extremes, but the relevance of a small set of carefully selected variables is self-evident.

Attachment 2-A displays the basic Market Basket salary data as we have been able to obtain it. (Boston University never reports its information except to other institutional research offices for confidential purposes. This raises the question of the continuing utility of including BU in our set.) Attachment 2-B introduces a number of new categories of institutional information, such as, endowment market values, full-time-equivalent enrollments, total faculty size, etc.

I also have indicated the Carnegie Classification for each institution. You will notice ruefully that in the last iteration from the Carnegie Corporation three schools in the Market Basket moved over us into the Research I classification, leaving only Brandeis at our level and American below us. What that means is that the combined federal support to all schools of our University has not yet crossed the threshold of \$40M which is the entry level to Research I status. As a matter of fact, although our sponsored research expenditures from all sources held our national ranking level (125) between FY92 and FY93, our total federal expenditures actually declined as did our ranking (104 to 112).

There is also a report on research and development spending which just appeared in The Chronicle of Higher Education which I have appended as Attachment 3. You and the Committee will see how significantly GW lags behind most of our comparison group on this measure. To take what may be a most plausible example, our faculty size is almost exactly the same as that of Vanderbilt. However, their total R&D figure is more than double our number. (Their endowment is also more than twice the size of ours.) What concerns me is that our faculty are not bringing resources into the University on an appropriate scale. I have no doubt that both the quality and quantity of non-sponsored faculty scholarship has increased significantly in the last decade, but we are not getting our share of direct and indirect research monies with which to enrich the institution. (I expect that picture to change in light of the summer research support

programs now in place in most schools, the REIA Program, etc., but the lag in our performance is unsettling.)

Before pursuing this general point further, let me return to Attachments 2-A and 2-B for a few remarks. One's first impression must be one of amazement at the capacity of several of our fellow schools to increase salary expenditures at such a rate in these times. Nonetheless, in the percent change in average salaries from last year, our efforts definitely left a mark. We ranked above the median in this respect in all categories: 2nd in full professors, 5th in associate professors, and 4th in assistant professors. In FY93 we had the 4th largest FTE enrollment, the 4th largest faculty, and the 4th largest total dollar outlay for salaries. In terms of endowment per FTE student, we were 9th. If we examine total dollars spent for full-time faculty salaries in the current year in relation to FY93 endowment assets, GW was 2nd. I will stop. The point in introducing these multiple characteristics in the Market Basket profile was to enable everyone, not just me, to analyze the subject from many different perspectives.

Before leaving this section I do wish to ask the ASPP Committee formally to consider whether or not the roster in the Market Basket should be altered. I was told recently of a comparable project at another university. It was described in terms that show just how prone even academics have become to mangle the language for these bureaucratic exercises. In spite of that, the example may be useful in a shorthand way. At this other institution, their "market basket" consists of three tiers. The top tier is made up of "aspirational peers." The middle tier in which they locate themselves consists of "situational peers." I've mercifully forgotten the rubric for the third tier, but they were perceived to be schools of lesser status. In any event, it strikes me that we have created for ourselves a market basket that is long on "aspirational peers" and short on "situational peers."

The point in revising the Market Basket would not be to relax our aspirations either for attaining Research I status or with respect to faculty salaries. On the contrary, the University has demonstrated its good faith in this connection. The point would be to enable us to see our performance in a context that would allow everyone to feel better about themselves and their University for what has been accomplished with the resources at our disposal.

III

As an extension of this last point, I would like to refer you to another study that I have done in connection with President Trachtenberg's annual report. (Attachment 4) It is no secret how difficult times have been for most of American higher education in financial terms over the last six years. Nonetheless, as Attachment 4 illustrates, faculty salary averages at GW have increased by almost 30% since 1988.

That in itself might be construed as a solid achievement in this era, but its real significance is disclosed only when I add the fact that over that same period the full-time non-medical faculty increased by roughly 70 lines. That growth is the equivalent of having added a faculty larger than the entire full-time faculty of the Law School. During the same interval the FTE student enrollment increased by 6%.

I am content to leave this as a positive chapter written for the record. However, as we both know, at more than one major university the faculty have elected to reduce the size of the full-time faculty as a means of improving their present earning levels and ensuring reasonable increases in future years.

IV

There is one more facet of this topic that I would like to mention. Our overriding interest is and will continue to be basic academic year salaries. However, the topic of overall compensation on a calendar year basis is not without interest.

We have done a compilation of total compensation for all faculty from all University sources for the 1993 calendar year. It would not surprise you that by virtue of administrative stipends, summer teaching, overloads for teaching at off-campus sites, sponsored research and a variety of other supplemental sources, many of our colleagues earn substantially more than their stated nine-month salaries.

If this were a matter of interest to the Committee, I think that Peggye Cohen could invent a format for presenting the data in a way that would be useful as well as sufficiently abstract to protect the confidentiality of individual incomes.

V

This report is more extensive than any ever addressed to your long-serving predecessor. However, I thought several considerations justified this treatment. First, we have a very affirmative story to tell the community in terms of the enhancement of faculty compensation between last year and this. Second, I wanted to put on the record the commitment of the administration to bring full professor averages to the 80th percentile in three equal, annual steps. Third, I believe that the enriched context for the presentation of naked salary figures gives everyone the basis for a more meaningful interpretation of their significance. Fourth, it occurred to me that materials presented in this detail provide a better basis for a broad discussion in your Committee of faculty salary policy linked to our overall aspirations.

cc: President Trachtenberg

1994-95 *Continuing Regular Faculty

TABLE 1-A

	Professors			Assoc Professors			Asst Professors			*Overall Average Salary		
	1993-94	1994-95	% Chg	1993-94	1994-95	% Chg	1993-94	1994-95	% Chg	1993-94	1994-95	% Chg
Arts & Sciences	62,998	65,948	4.7%	47,754	49,683	4.0%	39,631	42,215	6.5%	52,682	55,227	4.83%
Education	60,314	63,836	5.8%	44,126	46,275	4.9%	34,382	37,800	9.9%	51,259	54,184	5.71%
Elliott School	70,998	71,146	0.2%	47,318	49,604	4.8%	43,899	46,299	5.5%	58,398	59,641	2.13%
Engineering	80,046	83,969	4.9%	64,054	68,146	6.4%	57,113	61,668	8.0%	73,942	77,984	5.47%
Business & Public Mgt	73,236	77,220	5.4%	64,190	66,066	2.9%	57,341	60,086	4.8%	67,561	70,586	4.48%
National Law Center	106,041	116,217	9.6%	75,497	79,442	5.2%				99,793	108,695	8.92%
Total	72,531	76,605	5.6%	53,230	55,457	4.2%	43,786	46,623	6.5%	61,518	64,809	5.35%
Total \$	21,976,975	23,211,378	5.6%	9,474,991	9,871,329	4.2%	4,597,573	4,895,428	6.5%	36,049,539	37,978,135	5.35%
Arts & Sciences	136	136		94	94		72	72		302	302	
Education	24	24		21	21		4	4		49	49	
Elliott School	9	9		5	5		4	4		18	18	
Engineering	53	53		14	14		11	11		78	78	
Business & Public Mgt	46	46		35	35		14	14		95	95	
Subtotal	268	268		169	169		105	105		542	542	
National Law Center	35	35		9	9		0	0		44	44	
Total	303	303		178	178		105	105		586	586	
AAUP Percentiles	1993-94	@ 1.03	@ 1.04	1992-93	@ 1.03	@ 1.04	1992-93	@ 1.03	@ 1.04			
90	80,180	82,585	83,387	54,490	56,125	56,670	45,550	46,917	47,372			
80	75,330	77,590	78,343	52,120	53,684	54,205	43,010	44,300	44,730			
70	72,080	74,242	74,963	50,590	52,108	52,614	41,760	43,013	43,430			
60	68,420	70,473	71,157	48,560	50,017	50,502	40,840	42,065	42,474			
50	66,340	68,330	68,994	47,150	48,565	49,036	39,580	40,767	41,163			
GWJ Continuing	72,531	76,605	76,605	53,230	55,457	55,457	43,786	46,623	46,623			
AAUP percentile	71	77	75	85	87	85	83	89	87			

* Excludes instructors and clinical law faculty.

Unlike AAUP, promoted continuing faculty are reported at their 1994-95 rank.

1994-95 *Regular Faculty (Continuing and New)

TABLE 1-8

[a101.t142]

	Professors			Assoc Professors			Asst Professors			Overall Average Salary			% Chg in \$
	1993-94	1994-95	% Chg	1993-94	1994-95	% Chg	1993-94	1994-95	% Chg	1993-94	1994-95	% Chg	
Arts & Science	63,159	65,826	4.2%	48,259	49,665	2.9%	40,356	41,855	3.7%	52,788	54,368	3.0%	5.9%
Education	60,494	64,815	7.1%	44,709	46,275	3.5%	36,928	36,869	-0.2%	50,509	53,465	5.9%	2.1%
Elliot School	70,801	76,126	7.5%	49,000	48,613	-0.8%	44,940	46,439	3.3%	58,793	61,917	5.3%	14.9%
Engineering	80,690	83,969	4.1%	64,204	68,137	6.1%	56,767	60,668	6.9%	73,172	77,095	5.4%	0.5%
Business & Public Mgt	73,857	77,087	4.4%	64,678	66,225	2.4%	59,551	60,581	1.7%	68,268	69,958	2.5%	6.5%
National Law Center	107,027	114,534	7.0%	76,098	79,460	4.4%				100,303	105,229	4.9%	6.9%
Total	72,858	76,609	5.1%	54,227	55,973	3.2%	44,675	46,524	4.1%	61,599	63,983	3.9%	
Total \$	23,023,140	23,748,719	3.2%	9,489,755	10,634,931	12.1%	5,986,391	6,373,795	6.5%	38,499,286	40,737,445	5.9%	
Arts & Science	140	137	-2.1%	90	97	7.8%	84	89	6.0%	314	323	2.9%	
Education	26	25	-3.8%	19	21	10.5%	11	8	-27.3%	56	54	-3.6%	
Elliot School	11	12	9.1%	5	7	40.0%	6	5	-16.7%	22	24	9.1%	
Engineering	54	53	-1.9%	16	15	-6.3%	16	14	-12.5%	86	82	-4.7%	
Business & Public Mgt	49	47	-4.1%	35	37	5.7%	17	21	23.5%	101	105	4.0%	
Subtotal	280	274	-2.1%	165	177	7.3%	134	137	2.2%	579	588	1.6%	
National Law Center	36	36	0.0%	10	13	30.0%				46	49	6.5%	
Total	316	310	-1.9%	175	190	8.6%	134	137	2.2%	625	637	1.9%	
AAP Percentiles	1993-94	@ 1.04	@ 1.05	1993-94	@ 1.04	@ 1.05	1993-94	@ 1.04	@ 1.05				
90	80,180	83,387	84,189	56,190	58,438	59,000	47,000	48,880	49,350				
80	75,330	78,343	79,097	53,640	55,786	56,322	44,720	46,509	46,956				
70	72,080	74,963	75,684	51,580	53,643	54,159	43,070	44,793	45,224				
60	68,420	71,157	71,841	49,560	51,542	52,038	42,050	43,732	44,153				
50	66,340	68,994	69,657	48,000	49,920	50,400	40,730	42,359	42,767				
GAJ overall 94/95	76,609	75	73	55,973	81	79	46,524	80	78				
\$ to AAUP 80th		\$537,540	\$771,280		(\$35,530)	\$66,310		(\$2,055)	\$59,184				

* Excludes instructors and clinical law faculty.

COMPARISON OF FACULTY REPORTED TO AAUP IN 1994-95 and 1993-94

TABLE 1-C

1/3/95

Reported in 1993-94
Not in 1994-95Not Reported in 1993-94
Reported in 1994-95

CONTINUING FACULTY

Term	To LWOS	To Adm Assign	Chg from Regular Position	TOTAL	New	From LWOS	From Admin Assign	Chg to Regular Position	Promoted from Instructor	TOTAL	NET ADDITIONS	Inter- School Transfers	Promotions (+) (-) CHANGE	NET
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PROFESSORS

Arts & Sci	3	1	2	6	0	0	1	0		1	(5)		2	(3)
Education	1	0	0	1	1	0	0	0		1	0	(1)	0	(1)
Elliott School	1	0	1	2	0	2	1	0		3	1		0	1
Engineering	1	0	1	2	0	0	0	0		0	(2)		1	(1)
Bus & Public Mgt	3	1	0	4	0	1	0	0		1	(3)	1	0	(2)
Law	0	0	1	1	0	0	0	1		1	0		0	0
Total	9	2	5	16	1	3	2	1		7	(9)	0	3	(6)

ASSOCIATE PROFESSORS

Arts & Sci	1	2	0	3	1	1	1	0		3	0		9	(2)	7
Education	0	0	0	0	0	0	0	0		0	0	(1)	3	0	2
Elliott School	1	0	0	1	1	0	1	0		2	1		1	0	2
Engineering	1	0	0	1	1	0	0	0		1	0		0	(1)	(1)
Bus & Public Mgt	1	0	0	1	2	0	0	0		2	1	1	0	0	2
Law	1	0	0	1	1	1	0	2		4	3		0	0	3
Total	5	2	0	7	6	2	2	2		12	5	0	13	(3)	15

ASSISTANT PROFESSORS

Arts & Sci	3	1	1	5	12	3	0	2	2	19	14			(9)	5	
Education	3	0	0	3	3	0	0	1	0	4	1	(1)		(3)	(3)	
Elliott School	0	1	0	1	1	0	0	0	0	1	0			(1)	(1)	
Engineering	4	0	0	1	5	2	0	0	1	3	(2)			0	(2)	
Bus & Public Mgt	4	0	0	4	4	0	0	3	0	7	3	1		0	4	
Law	0	0	0	0												
Total	14	2	1	1	18	22	3	0	7	34	16	0		(13)	3	
GRAND TOTAL	28	6	6	1	41	29	8	4	10	53	12	0		16	(16)	12

TABLE 2-A

AUP Faculty Salary Averages

(Ordered by 1994-95 overall average)

[a1.t40]

TABLE 2-A													IR 1/17/95	
AUP Faculty Salary Averages (Ordered by 1994-95 overall average) [a1.t40]														
	Professors		% Chg	Assoc Professors		% Chg	Aast Professors		% Chg	Composite		% Chg	in \$	
	1993-94	1994-95		1993-94	1994-95		1993-94	1994-95		1993-94	1994-95			
NEW YORK UNIVERSITY	88,700	93,000	4.8%	59,100	61,100	3.4%	50,700	52,200	3.0%	71,259	74,294	4.3%	6.3%	
NORTHWESTERN UNIV	86,000	89,400	4.0%	59,600	61,300	2.9%	49,600	51,000	2.8%	71,199	73,816	3.7%	7.0%	
DUKE UNIVERSITY	85,400	89,000	4.2%	58,400	60,900	4.3%	45,900	47,800	4.1%	69,928	72,425	3.6%	7.6%	
CARNEGIE-MELLON	82,900	85,500	3.1%	56,600	57,700	1.9%	49,900	50,300	0.8%	67,959	70,186	3.3%	0.1%	
WASHINGTON UNIVERSITY	78,200	81,300	4.0%	53,400	54,600	2.2%	45,100	47,300	4.9%	62,260	65,069	4.5%	5.6%	
GEORGETOWN UNIV	85,700	88,500	3.3%	55,200	56,600	2.5%	42,700	43,600	2.1%	63,015	64,805	2.8%	5.7%	
VANDERBILT UNIV	80,700	83,100	3.0%	52,200	54,500	4.4%	43,200	43,600	0.9%	62,813	64,470	2.6%	4.9%	
EHORY UNIVERSITY	79,600	84,000	5.5%	54,700	56,000	2.4%	45,100	47,100	4.4%	61,186	64,229	5.0%	5.9%	
TUFTS UNIVERSITY	73,500	75,800	3.1%	54,900	57,700	5.1%	44,700	46,200	3.4%	59,250	61,757	4.2%	2.2%	
BRANDEIS UNIVERSITY	68,700	70,600	2.8%	49,300	50,900	3.2%	40,300	41,700	3.5%	58,766	60,548	3.0%	6.7%	
AMERICAN UNIVERSITY	74,600	78,000	4.6%	52,000	53,000	1.9%	41,700	41,700	0.0%	57,969	59,483	2.6%	5.9%	
BOSTON UNIVERSITY														

(est.)

(est.)

(est.)

4.0%

4.0%

4.0%

+

+

=

(7)

1

0

MARKET BASKET DATA

3.9%

2.7%

80,364

83,473

12,467

2,358,624

2,130,630

sum of the \$ per rank =

(29)

(26)

(2)

MEDIAN of the schools

80,700

84,000

2,464,800

2,294,000

sum of the \$ per rank =

(31)

(27)

(1)

-n to MB Median

(31)

(2)

Other Local Schools

GEORGE MASON UNIVERSITY

75,300

78,500

UNIVERSITY OF MARYLAND

70,300

73,000

***GUJ data are the same as reported by GU school, but have been rounded to the nearest 100.

4.2%

4.0%

3.8%

2.5%

-3.1%

60,277

60,260

3.8%

3.7%

4.9%

Market Basket Schools
IR 1/30/95

TABLE 2-B

	1993-94	*Overall 1994-95	% Chg	FTE Students (FY93)	FY93 Endow Market Value (000)	Endowment per FTE Student	FY95 Faculty Salary\$ per FY93 Endow	Carnegie Classification
TOTAL DOLLAR OUTLAY								
American Univ	23,709,500	25,101,800	5.9%					Doctoral I
Boston Univ	0	0		22,033	334,507	15,182		Research I
Brandeis Univ	14,867,700	15,863,700	6.7%					Research II
Carnegie-Mellon	35,270,700	35,303,700	0.1%	6,445	404,531	62,767	0.087	Research I
Duke Univ	43,355,500	46,641,900	7.6%	10,616	669,075	63,025	0.070	Research I
Emory Univ	33,101,800	35,068,900	5.9%	9,066	1,763,518	194,520	0.020	Research I+
Georgetown	31,696,600	33,504,300	5.7%	10,816	340,505	31,482	0.098	Research I+
NYU	79,881,500	84,917,700	6.3%	26,399	694,443	26,306	0.122	Research I
Northwestern	62,085,200	66,434,100	7.0%	14,939	1,308,363	87,580	0.051	Research I
Tufts Univ	23,877,900	24,394,200	2.2%	7,535	214,775	28,504	0.114	Research I++
Vanderbilt	39,320,700	41,261,000	4.9%	9,279	800,632	86,284	0.052	Research I
Washington Univ	35,799,700	37,804,900	5.6%	9,551	1,687,413	176,674	0.022	Research I
***** GWU ***** ***	38,511,200	40,756,500	5.8%	13,423	353,099	26,306	0.115	Research II
George Mason Univ	36,693,400	38,215,400	4.1%					Doctoral II
Univ of Maryland	63,123,900	66,226,000	4.9%					Research I
NUMBER OF FACULTY								
American Univ	409	422	3.2%					
Boston Univ	0	0	ERR					
Brandeis Univ	253	262	3.6%					
Carnegie-Mellon	519	503	-3.1%					
Duke Univ	620	644	3.9%					
Emory Univ	541	546	0.9%					
Georgetown	503	517	2.8%					
NYU	1121	1143	2.0%					
Northwestern	872	900	3.2%					
Tufts Univ	403	395	-2.0%					
Vanderbilt	626	640	2.2%					
Washington Univ	575	581	1.0%					
***** GWU ***** ***	625	637	1.9%	*****				
George Mason Univ	632	634	0.3%					
Univ of Maryland	1086	1099	1.2%					

+ Previously Research II
++ Previously Doctoral I

* Excludes Instructors

FACT FILE: Top 100 Institutions in Total Research-and-Development Spending, Fiscal Year 1993

	Federal funds for research & development		Total funds for research & development			Federal funds for research & development		Total funds for research & development		
	Amount	Rank	Amount	Rank		Amount	Rank	Amount	Rank	
Johns Hopkins U. *	\$673,601,000	1	\$745,515,000	1	U. of Miami	\$91,472,000	38	\$120,875,000	53	
U. of Michigan	249,951,000	5	425,868,000	2	★ Emory U.	80,424,000	44	120,125,000	54	
U. of Wisconsin, Madison	213,955,000	7	372,362,000	3	★ Carnegie Mellon U.	78,666,000	45	118,261,000	55	
Massachusetts Institute of Technology	267,414,000	3	365,553,000	4	U. of Virginia	75,580,000	49	118,019,000	56	
U. of Washington	268,819,000	2	335,329,000	5	California Institute of Technology	103,888,000	31	115,439,000	57	
U. of Minnesota	174,716,000	13	332,033,000	6	Colorado State U.	68,733,000	58	115,385,000	58	
Texas A&M U.	122,533,000	27	322,691,000	7	U. of Texas Southwestern Medical Center, Dallas	67,943,000	58	114,258,000	59	
U. of California, San Francisco	210,148,000	8	314,599,000	8	Oregon State U.	61,118,000	63	114,004,000	60	
Cornell U.	195,229,000	9	310,949,000	9	U. of Chicago	95,930,000	33	111,877,000	61	
U. of California, San Diego	243,149,000	6	307,051,000	10	U. of Maryland, Baltimore	53,556,000	68	111,772,000	62	
Stanford U.	254,379,000	4	306,676,000	11	State U. of New York, Stony Brook	68,023,000	57	107,817,000	63	
U. of California, Berkeley	156,394,000	17	284,346,000	12	U. of Missouri, Columbia	29,612,000	110	106,193,000	64	
Pennsylvania State U.	160,152,000	16	282,659,000	13	U. of Illinois, Chicago	50,415,000	72	105,552,000	65	
U. of California, Los Angeles	189,065,000	10	277,974,000	14	U. of Utah	83,237,000	42	105,263,000	66	
Harvard U.	181,969,000	12	257,207,000	15	U. of Kentucky	46,774,000	78	102,911,000	67	
U. of Illinois, Urbana-Champaign	141,149,000	20	252,811,000	16	U. of California, Irvine	64,546,000	60	100,631,000	68	
U. of Texas, Austin	139,126,000	21	249,158,000	17	Princeton U.	56,746,000	65	98,603,000	69	
U. of Arizona	113,423,000	28	235,528,000	18	★ Vanderbilt U.	83,683,000	41	96,181,000	70	
U. of Pennsylvania	173,593,000	14	233,829,000	19	U. of Nebraska, Lincoln	23,930,000	117	94,959,000	71	
★ U. of Maryland, College Park	85,041,000	40	229,344,000	20	U. of Cincinnati	57,394,000	64	92,512,000	72	
Yale U.	168,900,000	15	226,850,000	21	Washington State U.	43,678,000	82	92,434,000	73	
U. of California, Davis	105,255,000	30	223,758,000	22	U. of Oklahoma	33,298,000	100	92,019,000	74	
Ohio State U.	109,069,000	29	221,460,000	23	★ Boston U.	71,593,000	54	91,158,000	75	
Columbia U.	182,696,000	11	204,710,000	24	Yeshiva U.	71,771,000	52	89,636,000	76	
★ Duke U.	136,377,000	23	202,434,000	25	New Mexico State U.	64,821,000	59	85,974,000	77	
U. of Southern California	149,965,000	18	200,822,000	26	Wayne State U.	40,367,000	88	85,627,000	78	
U. of Colorado	138,584,000	22	193,217,000	27	U. of Kansas	37,738,000	95	85,134,000	79	
★ Washington U.	129,482,000	26	179,329,000	28	Woods Hole Oceanographic Institute	73,546,000	50	81,519,000	80	
U. of North Carolina, Chapel Hill	130,920,000	24	179,157,000	29	Clemson U.	23,289,000	120	78,569,000	81	
U. of Pittsburgh	141,776,000	19	178,575,000	30	Utah State U.	45,426,000	80	77,263,000	82	
Georgia Institute of Technology	98,398,000	32	175,873,000	31	Virginia Commonwealth U.	48,777,000	75	77,097,000	83	
U. of Georgia	52,085,000	70	172,274,000	32	U. of New Mexico	42,866,000	83	76,736,000	84	
Baylor College of Medicine	87,623,000	39	172,252,000	33	U. of Medicine and Dentistry of New Jersey	35,524,000	98	76,410,000	85	
U. of Rochester	130,898,000	25	161,810,000	34	Tulane U.	36,940,000	96	75,634,000	86	
Rutgers U.	55,169,000	66	161,025,000	35	City U. of New York Mount Sinai School of Medicine	49,800,000	73	75,337,000	87	
Louisiana State U. System	52,598,000	69	158,823,000	36	U. of South Florida	16,718,000	140	75,322,000	88	
North Carolina State U.	62,470,000	61	155,624,000	37	U. of Texas Health Science Center, San Antonio	48,467,000	76	75,239,000	89	
★ Northwestern U.	77,687,000	46	154,227,000	38	Rockefeller U.	36,854,000	97	74,396,000	90	
Michigan State U.	70,294,000	55	150,861,000	39	U. of Hawaii, Manoa	41,362,000	86	73,961,000	91	
Purdue U.	72,954,000	51	149,032,000	40	★ Georgetown U.	48,463,000	77	73,785,000	92	
U. of Iowa	93,483,000	36	148,811,000	41	Oklahoma State U.	20,840,000	128	72,920,000	93	
Iowa State U.	50,695,000	71	148,459,000	42	Mississippi State U.	29,616,000	109	70,300,000	94	
U. of Tennessee System	76,578,000	48	143,662,000	43	U. of California, Santa Barbara	54,057,000	67	68,775,000	95	
U. of Florida	71,704,000	53	142,966,000	44	Auburn U.	17,438,000	135	68,151,000	96	
Virginia Polytechnic Inst. and State U.	61,708,000	62	135,771,000	45	U. of Texas Medical Branch, Galveston	30,555,000	107	67,998,000	97	
U. of Alabama, Birmingham	94,762,000	34	133,790,000	46	U. of Alaska, Fairbanks	41,616,000	85	66,796,000	98	
U. of Connecticut	49,051,000	74	133,054,000	47	Arizona State U.	30,032,000	108	66,142,000	99	
★ New York U.	93,633,000	35	129,774,000	48	U. of Massachusetts, Amherst	32,065,000	103	64,111,000	100	
State U. of New York, Buffalo	80,723,000	43	128,203,000	49						
Indiana U.	77,377,000	47	127,877,000	50						
U. of Texas Anderson Cancer Center	41,158,000	87	127,475,000	51						
Case Western Reserve U.	91,867,000	37	124,691,000	52						

Note: The category of total funds includes amounts from federal and state governments, industry, the institution itself, and other sources. The figures cover only research and development expenditures in science and engineering, and exclude spending in such disciplines as the arts, education, the humanities, and law.

* Includes the Applied Physics Laboratory with \$431-million in federal and \$447-million in total research-and-development funds.

GWU

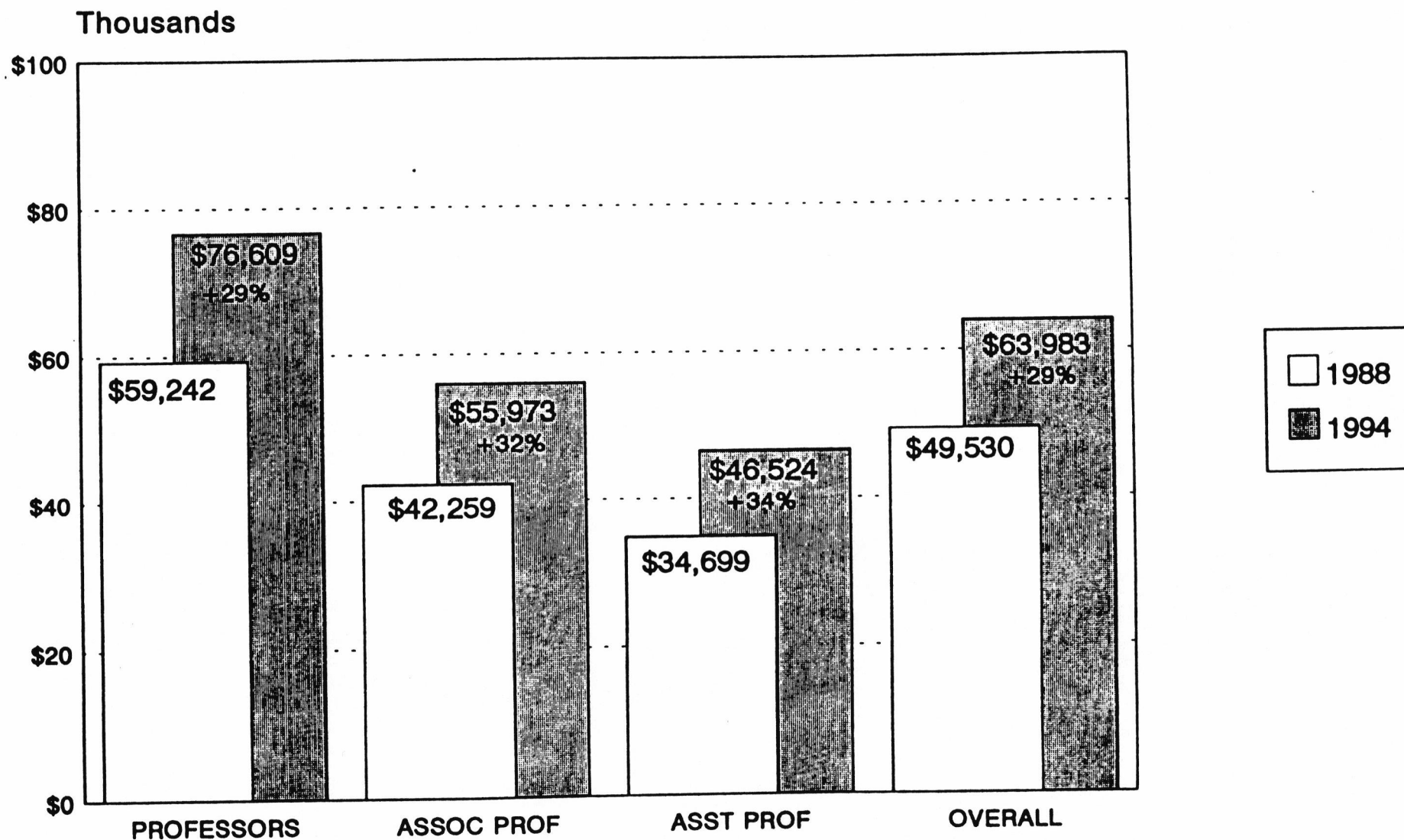
27,698,000 112 41,000 125

SOURCE: NATIONAL SCIENCE FOUNDATION

FULL-TIME FACULTY AVERAGE SALARIES

1988-89 THROUGH 1994-95

Excludes School of Medicine & Health Sciences



REPORT OF THE EXECUTIVE COMMITTEE
APRIL 14, 1995
LILIE F. ROBINSON, CHAIR

I. GRIEVANCE CASES

In a grievance from the Arts and Sciences, previously reported, Professor Izumi, National Law Center, has been appointed by the Executive Committee as Special Mediator.

II. MAY SENATE MEETING

Please note that the May Senate meeting will be held on THURSDAY, May 4th, in Lisner Hall 603, at 2:10 p.m. The May Senate meeting marks the beginning of the new Senate Session (1995-96).

Election of Chairs and members of Senate Standing Committees for the 1995-96 Session will take place at the May meeting. Also, Annual Reports from the Senate Standing Committees for the present Session will be received at that time. Chairs are requested to note any continuing business which would be a matter for next year's Committees. Those Senate members who are not returning as Chairs are asked to pass on their Committee files to the new Chairs.

III. ANNOUNCEMENTS

The Joint Executive Committees of the 1994-95 and 1995-96 Sessions will meet on April 21st to nominate the new Chairs and members of the Senate Standing Committees and to set the agenda for the May 4th Senate meeting.

I am pleased to take this opportunity to thank all of the members of the Senate for the work that you have done on behalf of our colleagues within the University. We have had a productive and successful year and your accomplishments are of enormous importance to the success of our faculty mission.

I would like to acknowledge the administration, especially President Trachtenberg and Vice President French, for their role in the resolution of a number of very complex issues.

I extend heartfelt thanks to my colleagues on the Executive Committee for their commitment to and effective execution of the challenging work of the Committee.

Finally, I would like to thank Doris Trone and Sue Campbell for making every task so much easier to accomplish and for the assistance that they have so readily extended.

THE GEORGE WASHINGTON UNIVERSITY
Washington, DC

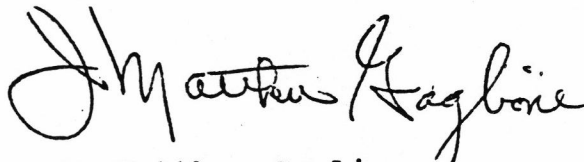
The Faculty Senate

April 3, 1995

The Faculty Senate will meet on Friday, April 14, 1995, at 2:10 p.m. in Lisner Hall 603.

AGENDA

1. Call to order
2. Approval of the minutes of the regular meeting of March 10, 1995
3. Resolutions:
A RESOLUTION ON A UNIVERSITY-WIDE POLICY FOR NON-SMOKING (94/10);
Professor J. Eftis, Chair, Committee on Administrative Matters
as They Affect the Faculty (Resolution 94/10 attached)
4. Introduction of Resolutions
5. Report on Conflict of Interest Policy by Donald R. Lehman,
Associate Vice President for Research and Graduate Studies
(Policy attached)
6. Special Report on Faculty Salaries for FY 94-95 by Professor
William B. Griffith, Chair, Committee on Appointment, Salary and
Promotion Policies
7. General Business:
 - (a) Nomination for election of the Executive Committee for
the 1995-96 Session: Report of the Nominating Committee;
Professor Gerald P. Johnston, Chair
 - (b) Nomination for election of five faculty members and Chair
to the Dispute Resolution Committee (nominations to be made)
 - (c) Nomination for appointment by the President to various
Administrative Committees (nominations to be made)
 - (b) Report of the Executive Committee: Professor Lilien
F. Robinson, Chair
 - (c) Annual Reports of Senate Standing Committees (due on or
before May Senate meeting)
8. Brief Statements (and Questions)
9. Adjournment



J. Matthew Gaglione
Secretary

[Any inquiries about this resolution should be directed to Professor John Eftis, Chair, Committee on Administrative Matters as They Affect the Faculty, Ext. 4-6536]

A RESOLUTION ON A UNIVERSITY-WIDE POLICY FOR NON-SMOKING (94/10)

WHEREAS, federal courts have ruled that regulations which ban smoking in all indoor workplaces are constitutional; and

WHEREAS, it is now generally recognized that cigarette smoking is hazardous to one's health, and that inhalation of cigarette smoke is also detrimental to health; and

WHEREAS, a policy for restriction of smoking exists within the University, nevertheless different units of the University, including the Hospital, Medical Center, Law School, University Club, J Street Food Court and the Gelman Library have found it necessary to institute smoking restrictions individually; and

WHEREAS, The George Washington University recognizes the legal right of those who choose to smoke, in that designated areas for smoking are, or will be made available;
NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That it would be desirable to have a uniform University-wide policy for non-smoking whereby with the exception of specially designated smoke areas, smoking in classrooms and in all academic and administrative support facilities, including offices, halls and stairways, shall be prohibited, and that the University Administration shall take appropriate measures to ensure that the policy is implemented.

Committee on Administrative Matters as They Affect the Faculty
March, 1995

The George Washington University

Policy on Conflict of Interest

Preamble and Declaration of Purpose

Potential conflicts of interest are a universal fact of life; they occur when the fulfillment of an obligation, commitment, or responsibility makes it difficult or impossible to fulfill other obligations, commitments, or responsibilities. They obviously may differ in extent or degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to define those conflicts of interest which directly or indirectly involve the institution and to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable.

A cornerstone for a statement of policy on conflict of interest involving the University must include the principle that "... faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University" [Faculty Code III F]. At the same time and of no less importance is a *FACULTY MEMBER's* responsibility to further her/his own professional development and the goals of her/his professional discipline. Under normal circumstances, a *FACULTY MEMBER's* participation in the activities of governmental, industrial, and professional institutions is consistent with the academic interests of the University as well as those of the *FACULTY MEMBER*.

As an important component of its education, research, and public service activities, the University encourages relationships with outside parties in both the private and public sectors. Concurrently, the University strives to recruit and retain individuals with the creative abilities who can contribute to technology transfer and interactions with both the private and public sectors consistent with their primary commitment to the University. The growing partnership between the University and these entities creates new possibilities for conflict of interest. These conflicts arise primarily from a *FACULTY MEMBER's* or *RESEARCHER's* opportunities for personal financial compensation either from the outcome of her/his research or from her/his legitimate activities conducted in the course of responsibilities as a *FACULTY MEMBER* or *RESEARCHER*. At the same time, the University benefits from research activities supported by grants, contracts, or gifts from both private and public sources, as well as from professional interactions, including consulting arrangements, between faculty and public and private entities. Such activities tend to enhance the research environment of the University in such a way as to raise the student body's general educational experience and potential for employment. Technology transfer, whether in the form of technology licensing, faculty consulting, business assistance, or by other means, and whether connected with the private or public sectors, is essential for meeting the needs of society today. The University is committed to being a full participant in helping society at large meet its needs of today and tomorrow.

As the University plays such a role in society, constant accountability and amenability to public scrutiny must be present. This requires that the University and its *FACULTY MEMBERS* or *RESEARCHERS* commit themselves to conduct of the highest integrity and ethics. For example, the value of the results from privately or publicly sponsored research must not be compromised by any *FINANCIAL INTEREST* that will, or may be reasonably expected to, bias the design, conduct, or reporting of the research. It is not the intent of this policy to regulate or eliminate all circumstances of conflicts of interest. Rather, the purpose of this policy is to provide guidance to faculty in maintaining a reasonable balance between competing interests, to minimize reporting and other burdens on investigators, and to give the University the means, consistent with Federal requirements, to identify and manage conflicts of interest that could bias research outcomes..

Conflicts of Interest and External Relationships

A. Definition of Terms

- a) *FACULTY MEMBER* means any individual possessing either a full-time or part-time academic appointment at the University as defined in the Faculty Code.
- b) *RESEARCHER* means all those individuals, e.g., staff and students, conducting research through a gift from a corporate sponsor and/or associated with and responsible for *SPONSORED RESEARCH* at the University.
- c) An *ASSOCIATED ENTITY* of a *FACULTY MEMBER* or *RESEARCHER* means any trust, organization or enterprise other than the University or any affiliated Hospital over which the *FACULTY MEMBER* or *RESEARCHER*, alone or together with her/his *FAMILY*, exercises a *FINANCIAL INTEREST*.
- d) *BUSINESS* means any corporation, partnership, sole proprietorship, firm franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other non governmental legal entity organized for profit, not-for-profit, or charitable purposes, but excluding the University, any affiliated Hospital, or any other entity controlled by, controlling, or under common control with the University or an affiliated Hospital.
- e) *EXECUTIVE POSITION* refers to any position which includes responsibilities for a significant segment of the operation or management of a *BUSINESS*.
- f) The *FAMILY* of a *FACULTY MEMBER* or *RESEARCHER* includes her/his spouse, minor children, or other persons living in the same household, but in particular if living on the same household budget.
- g) A *FINANCIAL INTEREST* is an interest in a *BUSINESS* consisting of: (1) any stock, stock option, or similar ownership interest in such *BUSINESS*, but excluding any interest

arising solely by reason of investment in such *BUSINESS* by a mutual, pension, or other institutional investment fund over which the *FACULTY MEMBER* or *RESEARCHER* does not exercise control; or (2) receipt of, or the right or expectation to receive, any income from such *BUSINESS*, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof. For purposes of this policy, a *FINANCIAL INTEREST* exists when the interest in a *BUSINESS* by a *FACULTY MEMBER* or *RESEARCHER* and/or by a *FAMILY* member exceeds \$5,000 in annual income of all types, equity or ownership interest valued at 5%, or \$5,000, or more, or commitment for any future royalties. A *FINANCIAL INTEREST* also exists when a *FACULTY MEMBER* or *RESEARCHER* or a *FAMILY* member holds an *EXECUTIVE POSITION* in a *BUSINESS*.

h) *PARTICIPATE* means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator, or provider of direct services or patient care. This term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no access to the data (i.e., control over its collection or analysis) or, in the case of clinical research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome.

i) *SPONSORED RESEARCH* means research, training, and instructional projects involving funds, materials, or other compensation from outside sources under agreements which contain any of the following: The agreement binds the University or an affiliated institution to a line of scholarly or scientific inquiry specified to a substantial level of detail; a line-item budget is involved; financial reports are required; the award is subject to external audit; unexpended funds must be returned to the sponsor at the conclusion of the project; or the agreement provides for the disposition of either tangible or intangible properties that may result from the activity.

B. Types of Conflicts

Conflicts of Commitment:

Upon acceptance of a full-time appointment in the University, a full-time *FACULTY MEMBER* is expected to devote her/his primary professional loyalty, time, and energy to University teaching, research, and service responsibilities, and where applicable to University patient care. Accordingly, all *FACULTY MEMBERS* should arrange all outside activities that are not part of their University responsibilities so as not to interfere with the primacy of these commitments. The University recognizes that its *FACULTY MEMBERS* may engage in professional and *BUSINESS* activities in addition to their primary responsibilities, and to the extent that these activities serve the University's interests, as well as those of the participant, the University approves of such activity. However, a full-time *FACULTY MEMBER*'s professional effort directed towards work outside the normal

scope of duties should not exceed the equivalent of up to one day per week during the academic year as allowed by the Faculty Handbook. [This latter privilege is not available to research *FACULTY MEMBERS* paid wholly from research grants or contracts, nor to Physician full-time *FACULTY MEMBERS* at the Medical Center who are participants in the Medical Faculty Associates or to other Physician *FACULTY MEMBERS* whose contracts preclude such activities.] Potential conflicts of time commitment must be disclosed and resolved.

FACULTY MEMBERS by virtue of their being part of the academic community carry the responsibility where applicable of proper commitment of University resources. Substantial use of human or material resources of the University for non-University purposes may be construed as a misallocation of those resources. In particular, use of University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the *FACULTY MEMBER* and not the University, in general, require prior review and approval, unless covered by **Category I** below.

Conflicts of commitment also may arise when the University is deprived of its appropriate potential financial gain. For example, such a conflict potentially occurs when a *FACULTY MEMBER* seeks to obtain research support in a manner that substantially undermines the responsibilities of the Office of Sponsored Research or the Medical Center Office of Sponsored Projects. All *SPONSORED RESEARCH* projects are appropriately directed through one of the two of these offices. Another example where conflict of commitment may arise in this category has to do with patent ownership or licensing. Whenever an outside commitment of a *FACULTY MEMBER* provides to an individual or organization other than the University for intellectual or tangible property rights in the way of patent ownership or licensing that ought to accrue to the University, as indicated in the University's *Patent Policy and Scholarly Works* document, a conflict of commitment may be present. All such situations paralleling the above should be disclosed for review.

Conflicts of Interest:

The following material is to serve as descriptive, but not all inclusive, background relating to extramural relationships subject to this policy.

A conflict of interest is deemed to occur when a *FACULTY MEMBER* compromises her/his professional judgment in carrying out University teaching, research, service responsibilities, or external activities, or a *RESEARCHER* in carrying out her/his research responsibilities, when an external relationship directly or indirectly affects the *FINANCIAL INTEREST* of the *FACULTY MEMBER* or *RESEARCHER*, any *FAMILY* member, or any *ASSOCIATED ENTITY*.

The University assumes that the possibility for conflicts of interest will occur on a regular basis owing to the nature and scope of the activities in which *FACULTY MEMBERS* or *RESEARCHERS* normally engage. However, it is essential that potential significant

conflicts of interest be disclosed and reviewed by the University. Disclosure permits the University to make an informed judgment about appropriate steps to follow.

Potential conflicts of interest occur when certain behaviors of a *FACULTY MEMBER* or *RESEARCHER* are coupled to the existence of certain external relationships. As guidance for this policy, examples are given below with a division into three categories: **Category I** -- Allowable combinations of activities and external relationships; **Category II** -- Activities that are ordinarily allowable following disclosure with oversight procedures if necessary; **Category III** -- Activities that may be allowable with oversight after disclosure, review, and approval.

Any combination of activity and external relationships not specifically given in one of the three categories that a *FACULTY MEMBER* or *RESEARCHER* reasonably might construe as a potential conflict of interest should be reported in writing to her/his department chair, department head, center/institute director, or dean, if the latter is the direct line of responsibility. The department chair or head, center/institute director, or dean will determine whether the relationship represents an activity requiring further review, and will notify the *FACULTY MEMBER* or *RESEARCHER* accordingly in writing..

Category I -- Allowable combinations of activities and external relationships.

- a) A *FACULTY MEMBER* or *RESEARCHER* receiving royalties and honoraria for published scholarly works, occasional lectures, speeches, and other writings or creative works.
- b) A *FACULTY MEMBER* or *RESEARCHER* receiving honoraria for serving as a reviewer or serving on review panels for academic, governmental, or not-for-profit organizations.
- c) A *FACULTY MEMBER* or *RESEARCHER* receiving royalties under the University's or another academic institution's royalty-sharing policies, but the *FACULTY MEMBER* or *RESEARCHER* does not have any other relationship with the royalty-granting entity. Details on the University's policy can be found in the *Policy on Patents and Scholarly Works* document.

Category II -- Activities that are ordinarily allowable following disclosure with oversight procedures if necessary.

Research Activities:

- a) A *FACULTY MEMBER* or *RESEARCHER PARTICIPATING* in research on a technology, process, or product developed in whole or in part by that *FACULTY MEMBER* or *RESEARCHER* from which she/he, a member of her/his *FAMILY*, or an *ASSOCIATED ENTITY* is entitled to receive royalties from an existing *BUSINESS* under

the University's or another academic institution's royalty-sharing policies, but has no other *FINANCIAL INTERESTS* in the project.

b) A *FACULTY MEMBER* or *RESEARCHER* assigning students, postdoctoral fellows, or other trainees to research projects in which the *FACULTY MEMBER* or *RESEARCHER*, a member of her/his *FAMILY*, or an *ASSOCIATED ENTITY* is entitled to receive royalties from an existing agreement with a *BUSINESS* under the University or another academic institution's royalty-sharing policies, but has no other *FINANCIAL INTERESTS* in the project.

Instructional Projects:

c) A *FACULTY MEMBER* or *RESEARCHER* assigning students, trainees, or other staff to instructional projects, for example, design projects, in which the *FACULTY MEMBER* or *RESEARCHER*, a member of her/his *FAMILY*, or an *ASSOCIATED ENTITY* has a *FINANCIAL INTEREST*.

Category III -- Activities that may be allowable with oversight only after disclosure, review, and approval.

Research Activities:

a) A *FACULTY MEMBER* or *RESEARCHER PARTICIPATING* in research on a technology owned by or contractually obligated to a *BUSINESS* in which the *FACULTY MEMBER* or *RESEARCHER*, a member of her/his *FAMILY*, or an *ASSOCIATED ENTITY* has a consulting relationship or holds a *FINANCIAL INTEREST* other than receipt of University or Medical Center *SPONSORED RESEARCH* support or royalties consistent with the University's *Policy on Patents and Scholarly Works*.

b) A *FACULTY MEMBER* or *RESEARCHER* assigning students, postdoctoral fellows, or other trainees to research projects in which the *FACULTY MEMBER* or *RESEARCHER*, a member of her/his *FAMILY*, or an *ASSOCIATED ENTITY* has a consulting relationship or holds a *FINANCIAL INTEREST*, other than receipt of University or Medical Center *SPONSORED RESEARCH* support or royalties consistent with the University's *Policy on Patents and Scholarly Works*.

c) A *FACULTY MEMBER* or *RESEARCHER* receiving University or Medical Center *SPONSORED RESEARCH* support from a *BUSINESS* in which she/he, a member of her/his *FAMILY*, or an *ASSOCIATED ENTITY* holds a *FINANCIAL INTEREST*.

d) A *FACULTY MEMBER* or University *RESEARCHER* conducting research externally that would normally be conducted within the University.

Board Memberships:

e) A *FACULTY MEMBER* or *RESEARCHER* serving on the Board of Directors or Scientific Advisory Board of a *BUSINESS* from which that *FACULTY MEMBER* or *RESEARCHER* or a member of her/his *FAMILY* receives University or Medical Center *SPONSORED RESEARCH* support or with which the University has a substantial contractual relationship known to the *FACULTY MEMBER* or *RESEARCHER*.

Committee PARTICIPATION:

f) A *FACULTY MEMBER* or *RESEARCHER PARTICIPATING* in the consideration by a governmental agency of a technology which is owned by or contractually obligated to a *BUSINESS* in which that *FACULTY MEMBER* or *RESEARCHER*, a *FAMILY* member, or an *ASSOCIATED ENTITY* has a *FINANCIAL INTEREST*.

External Activities:

g) A *FACULTY MEMBER* or *RESEARCHER* holding an *EXECUTIVE POSITION* in a for-profit *BUSINESS* engaged in commercial or research activities directly related to her/his University responsibilities.

h) A *FACULTY MEMBER* or *RESEARCHER* making clinical or other referrals within the scope of her/his University or Medical Center duties to a *BUSINESS* in which such *FACULTY MEMBER* or *RESEARCHER*, a *FAMILY* member, or an *ASSOCIATED ENTITY* has a *FINANCIAL INTEREST*.

i) A *FACULTY MEMBER* or *RESEARCHER* possessing a *FINANCIAL INTEREST* in a *BUSINESS* which competes with the services provided by the University or Medical Center with which the *FACULTY MEMBER* or *RESEARCHER* is affiliated.

Public Disclosure:

j) A *FACULTY MEMBER* or *RESEARCHER* publishing or formally presenting research results, or providing expert commentary on a subject without simultaneously disclosing any *FINANCIAL INTEREST* relating to such results or such subject.

Administrative Responsibilities:

k) A *FACULTY MEMBER* or *RESEARCHER* taking administrative action within the University or Medical Center which is beneficial to a *BUSINESS* in which she/he has a *FINANCIAL INTEREST*.

Internal University Conflicts:

Though the examples given above describe conflicts a *FACULTY MEMBER* may voluntarily face, the administration of the University must be cognizant of and ready to resolve conflicts that may arise due to pressures from within the University. *FACULTY* are expected to disclose such conflicts. Two examples follow:

- a) A *FACULTY MEMBER* who has summer research support might inadvertently be asked by her/his Department Chair to devote substantial time to non research activities, e.g., curriculum revision, and still be expected to sign a declaration, e.g., a government form, that 100% of her/his time was spent on the research project.
- b) In its effort to increase the financial return of the institution, the University might encourage the pursuit of activities that will generate income from service-oriented contracts at the expense of freely chosen disinterested research and scholarship.

Implementation

Successful implementation of this policy assumes a shared responsibility by all *FACULTY MEMBERS*, *RESEARCHERS*, and the administration of the University. *FACULTY MEMBERS* and *RESEARCHERS* are expected to report and to seek guidance concerning significant potential conflicts of interest in order to ensure that the interests of the *FACULTY MEMBER* or *RESEARCHER*, her/his profession, and the University are best served. To aid individuals in this process, a set of disclosure guidelines are given below. Once proposed activities have been administratively reviewed, including a plan of action developed and approved, University administration has the responsibility to defend the activity so long as the *FACULTY MEMBER* or *RESEARCHER* follows the plan of action, the disclosure guidelines, general University policies, and the law.

A. Disclosure Guidelines

Disclosure of *FINANCIAL INTERESTS*: Anytime a *FACULTY MEMBER* or *RESEARCHER* plans to initiate an activity that falls under **Categories II or III** of this policy, the *FACULTY MEMBER* or *RESEARCHER* is expected to disclose the activity in accordance with Part **B.** of this implementation section and, when required, to obtain written approval prior to beginning the activity. For purposes of this policy, disclosure is required when that interest in a *BUSINESS* by a *FACULTY MEMBER* or *RESEARCHER*, or by a *FAMILY* member, exceeds \$5,000 in annual income of all types, equity or ownership interest valued at 5%, or \$5,000, or more, or commitment for any future royalties. Disclosure is also required when a *FAMILY* member holds an *EXECUTIVE POSITION* in a *BUSINESS*.

Disclosure when submitting a proposal for *SPONSORED RESEARCH*: All *FACULTY MEMBERS* or *RESEARCHERS* must disclose relevant *FINANCIAL INTERESTS* on the

Investigator "Significant Financial Interest Disclosure" form (Appendix A) at the time of their application for research support or technology transfer. Funding for the project will not be accessible to the *FACULTY MEMBER* or *RESEARCHER* until the disclosure of *FINANCIAL INTEREST* is reviewed and approval is given, and other appropriate measures have been implemented in accord with this policy.

Disclosure when involved with review or advisory activities: All *FACULTY MEMBERS* or *RESEARCHERS* are expected to temporarily excuse themselves from any University committee or review process that is considering an activity in which they have a *FINANCIAL INTEREST*.

Disclosure when involved with technology transfer: When *FACULTY MEMBERS* or *RESEARCHERS* are involved with transferring technology through patents or licensing to a *BUSINESS* in which the *FACULTY MEMBER* or *RESEARCHER* has a *FINANCIAL INTEREST*, the *FACULTY MEMBER* or *RESEARCHER* is expected to disclose the *FINANCIAL INTEREST* to the Associate Vice President for Research and Graduate Studies.

Disclosure to external entities: *FACULTY MEMBERS* or *RESEARCHERS* are expected to disclose relevant *FINANCIAL INTERESTS* to sponsors of research and in reporting, by either written or oral communication, research results.

B. Process

It is assumed that minor conflicts shall be resolved primarily through individual discretion or informal administrative adjustment. If a *FACULTY MEMBER* or *RESEARCHER* is engaged or expects to become engaged in an activity that might lead to a conflict of commitment or interest, she/he is expected to consult with appropriate administrative officers, i.e., the Department Chair or Head, or equivalent, and (if necessary) the Dean or Dean's designate. In addition, a Conflicts Consultation Committee shall be established in order to afford administrators and *FACULTY MEMBERS* or *RESEARCHERS* the opportunity of consultation and, in the event of a disagreement, peer review. It shall be the responsibility of the affected parties to handle questions (whether consultative or probative) in a timely and confidential manner.

I. Establishment of the Conflicts Consultation Committee

A Conflicts Consultation Committee of at least five members shall be established within each School of the University. Its members shall be broadly representative of the disciplines and units within the School, and shall be elected by the faculty of each School.

II. Functions of the Conflicts Consultation Committee

The Committee shall have both a consultative (prospective) function and a probative (reactive) function:

a) Consultative: Consultative matters -- defined here as guidance on questions regarding whether a prospective activity may be in violation of this policy -- may be brought to the committee in two primary ways. First, consultation normally shall begin through administrative channels and may be referred by the Dean to the committee for its advice. Second, a *FACULTY MEMBER* or *RESEARCHER* may seek the advice of the Committee if administrative consultation ends in disagreement.

In either case, whenever the Committee finds that no conflict or potential for conflict exists in a prospective activity, the Committee shall keep a written record of its consultative activity and shall inform the appropriate parties in writing, including the Dean.

Whenever consultation results in the recommendation that a *FACULTY MEMBER* or *RESEARCHER* refrain from the activity on which consultation was sought, the committee shall report in writing that finding to the *FACULTY MEMBER* or *RESEARCHER* involved, to the appropriate administrative officers, and the Vice President for Academic Affairs.

Whenever a *FACULTY MEMBER* or *RESEARCHER* or Dean disagrees with the Committee's consultative advice, she/he may appeal the Committee's advisory decision to the University Panel (see Section III, below).

In addition, *FACULTY MEMBERS* or *RESEARCHERS* may consult confidentially and informally with the Committee; however, such consultations shall be considered advisory only and non binding.

b) Probative: Probative matters -- defined here as questioning whether on-going or completed activity may be in violation of this policy -- may be brought to the Committee in either of two ways. First, any disagreement regarding a probative matter that arises between the Dean and a *FACULTY MEMBER* or *RESEARCHER*, regardless of who initiated the question, may be referred to the Committee for review. Second, any member of the University community may bring directly to the Committee's attention a probative matter alleged to be in violation of this policy. A *FACULTY MEMBER* or *RESEARCHER* whose activity has been questioned shall be entitled to know the identity of the person(s) bringing such a question(s) to the Committee as well as the full extent of the question(s).

Although the Committee shall have no power to affix blame, assign penalties, or require action, it may inquire in writing of *FACULTY MEMBERS* or *RESEARCHERS* whose activities have been questioned and the *FACULTY MEMBERS* or *RESEARCHERS* in turn have the responsibility to respond to the inquiry.

Upon investigation, the Committee shall make a written report to the Dean and the Vice President for Academic Affairs either of whom, in turn, may refer the matter to the University Conflicts Resolution Panel (see below). Copies of this report shall be given to the individual who raised the question before the Committee, and to the *FACULTY*

MEMBER OR RESEARCHER whose activities have been questioned. The report shall state the nature of the complaint and the results of the Committee inquiry.

III. Establishment of a University Conflicts Resolution Panel

A University Conflicts Resolution Panel shall be constituted of two members from each School's Conflicts Consultation Committee, appointed by the Vice President for Academic Affairs in consultation with the Deans of each School. Members from the School originating a matter shall recuse themselves.

IV. Functions of the University Conflicts Resolution Panel

The Panel shall have both an appeals and a recommending function:

a) The Panel shall hear appeals submitted in writing, containing such detail and accompanied by such supporting materials as the Panel shall reasonably require,

--from any *FACULTY MEMBER* or *RESEARCHER* who sought guidance from a School Committee and is dissatisfied with its advice;

--from any *FACULTY MEMBER* or *RESEARCHER* whose activities were investigated by a School Committee and is dissatisfied with the result stated in the Committee's report;

--from the Dean or any member of the University community who raised a question of conflict before a School Committee and is dissatisfied with the result stated in the Committee's report; or

--at the request of the Vice President for Academic Affairs in any of the foregoing instances.

b) The Panel shall make recommendations under the following guidelines:

--The University Panel shall give due deference to the report of the Conflicts Consultation Committee and may affirm the recommendation(s) contained in that report.

--The Panel may, if appropriate, consult with third parties.

--The Panel shall render a report to the Vice President for Academic Affairs that contains the agreed upon resolution of the matter, or conveys the lack of agreement between the Panel and the individual whose actions or proposed actions are brought into question.

--The Panel shall recommend to the Vice President for Academic Affairs any further action it deems necessary or appropriate.

V. Resolution of Conflicts of Interest

Decisions on the resolution of conflict-of-interest matters then rest with the Vice President for Academic Affairs after receipt by her/him of the University Conflicts Resolution Panel's report.

C. Record Retention

The Office of Sponsored Research and the Medical Center Office of Sponsored Projects will maintain records of all financial disclosure forms filed and all actions taken by the University, on an award-by-award basis, for at least three years beyond the termination of the award or until resolution of any action by the University or governmental agencies involving the records. All records will be maintained in a manner to protect confidentiality. Each Dean will maintain the records relating to all disclosures originating from her/his School for at least three years.

D. Reporting of Previously Approved Relationships

Each Dean annually will submit a written report to the Vice President for Academic Affairs summarizing all requests and actions regarding **Category II** and **Category III** external relationships. In addition, each Dean must report on ongoing **Category II** and **Category III** relationships to ensure that management and oversight activities are being carried out as required. The Vice President for Academic Affairs will forward these reports to the Associate Vice President for Research and Graduate Studies who may convene a small subcommittee of the Advisory Council on Research to review the activities for consistency. On behalf of the subcommittee, the Associate Vice President for Research and Graduate Studies will communicate to the Vice President for Academic Affairs its recommendations in writing, who will in turn communicate in writing with the Deans as required. The Associate Vice President for Research and Graduate Studies will consult with appropriate faculty governance committees regarding proposed changes in the operating principles and procedures.

E. Compliance

The University expects its *FACULTY MEMBERS* and *RESEARCHERS* to comply fully and promptly with the policy, including the requirements of disclosure. Instances of deliberate breach of this policy, including failure to file or knowingly filing an incomplete, erroneous, or misleading disclosure form, violations of guidelines, or failure to comply with proscribed monitoring procedures, will be adjudicated in accordance with applicable disciplinary policies and procedures of the Medical Center, the University, and the Faculty Code of the George Washington University. Possible sanctions include the following:

- Letter of admonition;
- Ineligibility of the *FACULTY MEMBER* or *RESEARCHER* for grant applications, Institutional Review Board (IRB) approval, or supervision of graduate students;

- Nonrenewal of appointment;
- Dismissal.

F. Existing Relationships

As this policy constitutes a new policy for *FACULTY MEMBERS* and *RESEARCHERS*, it is expected that there exist relationships that may need to be modified. Consequently, in order to implement the policy, *FACULTY MEMBERS* and *RESEARCHERS* must disclose all existing external relationships that fall under **Categories II and III** above to their Department Chair or equivalent for review. This provision also applies to all new *FACULTY MEMBERS* and *RESEARCHERS* hired after this policy is adopted.

Acknowledgments and Background: This policy on conflict of interest is predominantly modeled after those of Harvard Medical School and the University of Minnesota which parallel each other closely both in format and wording. In some sections, the wording of the present document is identical or very closely paraphrased to that of Harvard's and Minnesota's. Overall, the drafting of the document was aided by knowledge of the content of similar policies from Auburn University, Penn State University, and Vanderbilt University. Our aim has been to retain as much of the original GW Faculty Senate endorsed Conflict of Interest Policy of January 19, 1990, consistent with the new Federal requirements mandated by the National Science Foundation Financial Disclosure Policy (effective date 28 June 1995), the Public Health Service proposal (expected to be finalized early this year [1995]), and those of the Federal Food and Drug Administration which are forthcoming. Parts of the Implementation section derive from those already passed by the individual Schools, but which have never been implemented.

Appendix A

Investigator Significant Financial Interest Disclosure Policy

(Applicable to all Sponsored Project Proposals)

What is required?

Federal regulations require institutions to have policies and procedures in place that ensure that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relationship to externally sponsored projects. Such disclosures must be made **prior to the submission of a proposal** for funding,* and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to award or acceptance of an award.

* If a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required.

Who is covered?

"Investigator" means the principal investigator/project director, co-principal investigators, and any other person at the University who is responsible for the design, conduct, or reporting of research or educational activities funded, or proposed for funding, by an external sponsor. In this context, the term Investigator includes the "Investigator's" spouse and dependent children.

What must be disclosed?

Each Investigator shall disclose all *significant financial interests*:

- (i) that would reasonably appear to be directly and significantly affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or
- (ii) in entities whose financial interests would reasonably appear to be directly and significantly affected by such activities.

What is covered?

"Significant financial interests" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term **does not include**:

- (1) Salary, royalties, or other remuneration from Institution;
- (2) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- (3) Income from service on advisory committees or review panels for public or non profit entities;
- (4) Financial interests in business enterprises or entities if the value of such interests does not exceed \$5,000 (or \$5,000 per annum if such interests represent salary, fees or other continuing payments) or represent more than 5% ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children.

Disclosure Procedures:

- (1) All investigators must disclose their significant financial interests utilizing this form and attaching all required supporting documentation. The completed form and packet must be submitted with the proposal and Institution's Standard Routing Sheet to the appropriate Office of Sponsored Programs. Supporting documentation should be submitted in a sealed envelope marked *confidential*.
- (2) In accordance with Federal regulations, a complete disclosure must be made by Investigator(s) *prior to submission of the proposal*.
- (3) Resolutions to conflicts of interest will be incorporated in a Memorandum of Understanding (MOU) that is executed between the Investigator(s) and the Dean/Director prior to award or award acceptance.

Significant Financial Interest Disclosure

(Applicable to all Sponsored Project Proposals)

Faculty/Staff Name _____

Department/Unit _____

College/Unit _____

Proposal Submitted to _____

I am disclosing the following significant financial interests (check one) and attaching supporting documentation (in an envelope marked confidential) that identifies the business enterprise or entity involved and the nature and amount of the interest:

("Significant financial interests" are defined on page 1.)

- _____ Salary or other payment for services (e.g., consulting fees or honoraria).
- _____ Equity interests (e.g., stocks, stock options, or other ownership interests).
- _____ Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).
- _____ Other significant financial interest of the Investigator that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding.

I have no significant financial interests to disclose: _____
Initials

Further I agree:

- * To update this disclosure during the pendency of the award, either on an annual basis, or as new reportable significant financial interests are obtained.
- * To cooperate in the development of a Memorandum of Understanding (MOU) that constitutes a conflict of interest "resolution plan."
- * To comply with any conditions or restrictions imposed by the University to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award.

Signed: _____ Date: _____

(Original signature only—a "per" signature is not acceptable.)

Endorsements:

I have reviewed the significant financial interest disclosure and believe that it will be possible to develop and execute, prior to award, an MOU to manage, reduce, or eliminate any actual or potential conflict of interest; and, therefore, I recommend that the proposal be submitted to the agency at this time.

Department/Unit Head: _____

Signed

Date

College Dean/Director: _____

Signed

Date

